DOCUMENT RESUME

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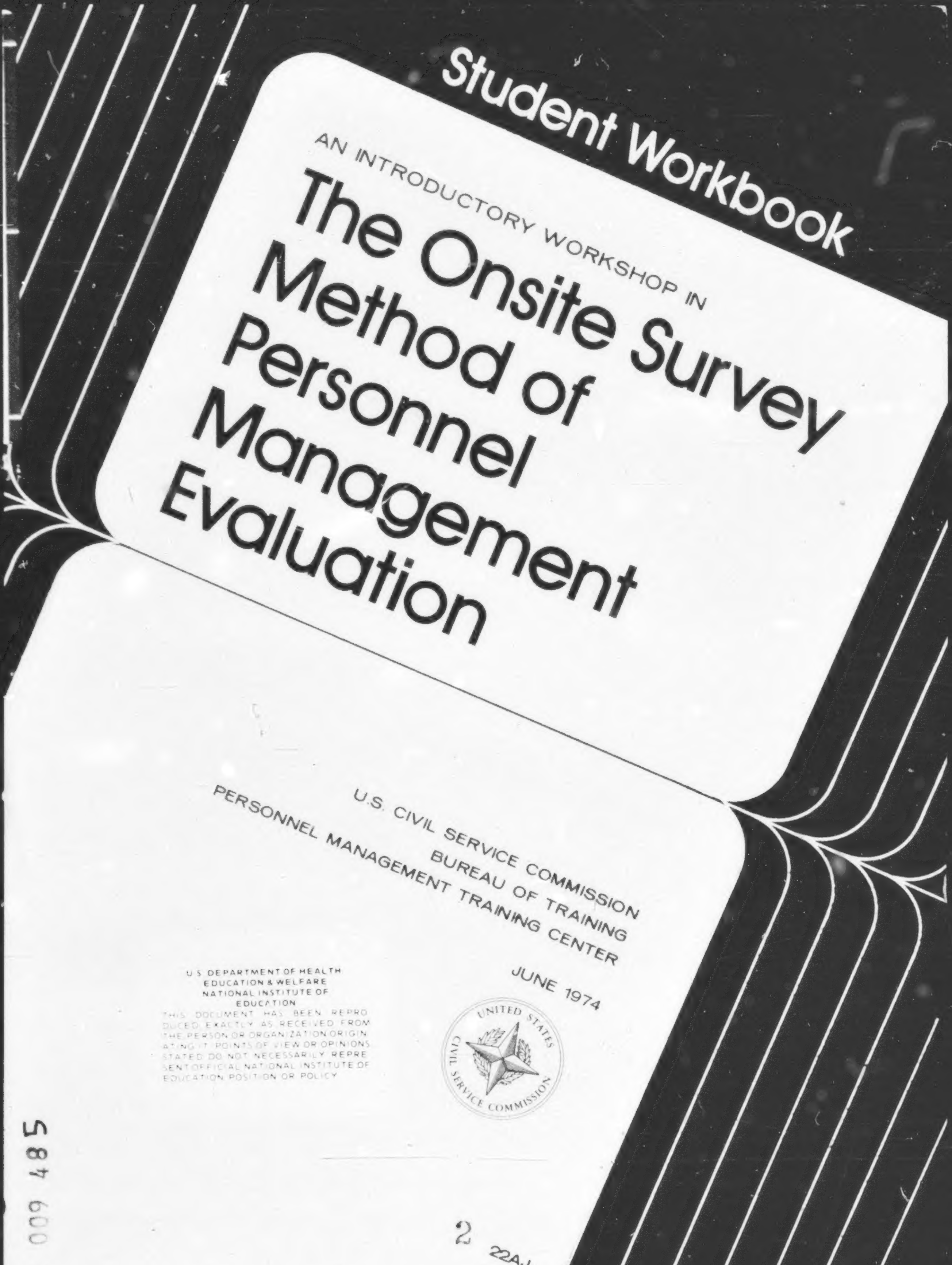
ABSTRACT

This manual contains the complete course plans designed to prepare an individual to participate in an onsite survey. It provides an introduction to the major phases of the survey process: (1) planning for an onsite survey; (2) conducting the opening conference; (3) onsite factfinding; (4) problem identification and analysis; (5) problem solving and improvement planning; (6) preparing the written report; (7) conducting the closing conference; and (8) followup and impact assessment. Upon completion, the participant will be able to apply commonly used evaluation procedures, under the guidance of senior team leaders, in completing carefully selected evaluation assignments. (Author/PC)



Student Workbook

AN INTRODUCTORY WORKSHOP IN

The Onsite Survey Method of Personnel Management Evaluation

U.S. CIVIL SERVICE COMMISSION
BUREAU OF TRAINING
PERSONNEL MANAGEMENT TRAINING CENTER

JUNE 1974

U.S. DEPARTMENT OF HEALTH
EDUCATION & WELFARE
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NOTES TO THE INSTRUCTOR

Assembling the Student Workbook

Remove the following pages from each workbook and distribute to students when needed:

Scoring Key, page 57
FSPA Manager Roles, page 155
Evaluation Interview Role Plays 1 - 8, pages 193 - 207
FSPA Summary of other Interview Findings, pages 209 - 210
Program Review Role Plays 1 and 2, pages 277 - 282
FSPA Regulatory Review Summary, page 293

The only remaining items that need to be filed in the student workbook are the readings listed on page 76 of the Instructor's Guide.

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READINGS

An Introductory Workshop in

THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

PRECOURSE MATERIAL

An Introductory Workshop in

THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

COURSE INTRODUCTION

An Introductory Workshop in
THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

COURSE OBJECTIVES

OVERALL COURSE OBJECTIVES

1. This course is designed to prepare an individual to participate in an onsite personnel management evaluation survey. It provides an introduction to the major phases of the survey process:
   - Planning for an onsite survey.
   - Conducting the opening conference.
   - Onsite factfinding.
   - Problem identification and analysis.
   - Problem solving and improvement planning.
   - Preparing the written report.
   - Conducting the closing conference.
   - Followup and impact assessment.
2. Upon completion, the participant will be able to apply commonly used evaluation procedures, under the guidance of senior team leaders, in completing carefully selected evaluation assignments.

INDIVIDUAL LESSON OBJECTIVES

The Governmentwide Personnel Management Evaluation Program

At the end of this session, and with the aid of reference material, the learner will be able to:

1. Define personnel management and identify the three major centers of personnel management responsibility.
2. Describe the three elements of effective agency personnel management.
3. Explain the overall purpose and expected results of personnel management evaluation and the minimum requirements for agency evaluation systems.

Methods of Evaluation

At the end of this unit, and with the aid of reference materials, the learner will be able to:

1. List the five standard evaluation methods.
2. Describe the uses and limitations of each method.

Evaluation Team Roles and Responsibilities

At the end of this unit, and with the aid of reference materials, the learner will be able to:

1. Explain the five major roles of personnel management evaluation.
2. Identify the core knowledges needed by evaluators for professional development.
3. Describe the role of the team leader in managing and coordinating the survey.
4. Give examples of appropriate professional conduct during the planning, onsite, and post-onsite phases.
5. Cite and explain four types of evaluator-client relationships, and possible difficulties in the use of each.

Planning for the Onsite Survey

At the end of this session, the learner, under the close guidance of senior evaluators, will be able to:

1. Describe and explain the basic interrelationships among the major phases of the onsite survey process.
2. Identify commonly used advanced information sources.
3. Assist senior evaluators in determining areas of coverage and evaluation procedures to be utilized onsite.
4. Assist senior evaluators in planning and conducting the opening conference.

Planning and Conducting the Opening Conference

At the end of this session, the learner, under the direction of senior team members, will be able ~~to plan a~~ short opening conference presentation.

Onsite Factfinding

On completion of this unit, the learner will be able to:

1. Identify and describe the four basic onsite factfinding methods. (interviews, technical program operation review, personnel action review, and classification review).
2. Use the appropriate method to obtain clearly specified information to be used by the team in assessing personnel management effectiveness.

Problem Identification and Solution

On completing this topic, the learner will be able to:

1. Describe the process steps used in identifying and analyzing problems which adversely impact on personnel management effectiveness.
2. Define the process steps in decision analysis used in requiring and recommending actions to improve personnel management effectiveness.
3. Apply these processes with the aid of senior evaluators in the identification and solution of simple problems.

Preparing for the Closing Conference

At the end of this session, the learner will be able to:

1. Describe the purpose and expected results of the closing conference.
2. Describe alternative approaches to organizing and presenting evaluation findings.
3. Assist senior evaluators in planning a closing conference.

Conducting the Closing Conference

At the end of this session, the learner will be able to assist senior evaluators in conducting a closing conference.

Methods of Organizing and Presenting Written Reports

At the end of this session, the learner will be able to describe the uses and limitations of the following commonly used techniques for organizing and presenting formal written reports:

1. Draft report techniques.
2. Commonly used report formats.
   - Program area format.
   - Centers of responsibility format.
   - Problem oriented format.
   - Action plan format.

Followup and Impact Assessment Procedures

At the end of this unit, participants will be able to:

1. Explain the purpose for followup and impact assessment.
2. Describe the major uses and limitations of these followup and impact assessment procedures:
   - Action item reporting.
   - Personnel assistance visits.
   - Followup surveys

An Introductory Workshop in
THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

COURSE OUTLINE

DAY I

8:45 - REGISTRATION
9:00 - COURSE STRUCTURE AND OBJECTIVES
9:15 - WORKBOOK ORIENTATION
9:30 - THE GOVERNMENTWIDE PERSONNEL MANAGEMENT EVALUATION PROGRAM
10:00 - BREAK
10:15 - METHODS OF EVALUATION
EVALUATION TEAM ROLES AND RESPONSIBILITIES
10:45 - PLANNING THE ONSITE SURVEY
12:00 - LUNCH
1:00 - PLANNING THE ONSITE SURVEY (CONTINUED)
4:00 - EVENING ASSIGNMENT

DAY II

9:00 - PLANNING AND CONDUCTING THE OPENING CONFERENCE
10:30 - BREAK
10:45 - ONSITE FACTFINDING
Part A. The Evaluation Interview
12:00 - LUNCH
1:00 - ONSITE FACTFINDING (CONTINUED)
4:00 - EVENING ASSIGNMENT

DAY III

9:00 - ONSITE FACTFINDING (CONTINUED)
Part B. Program Review
10:30 - BREAK
10:45 - PROBLEM IDENTIFICATION AND SOLUTION
12:00 - LUNCH
1:00 - PROBLEM IDENTIFICATION AND SOLUTION (CONTINUED)
4:00 - EVENING ASSIGNMENT

DAY IV

9:00 - PREPARING FOR THE CLOSING CONFERENCE
10:30 - BREAK
10:45 - CONDUCTING THE CLOSING CONFERENCE
12:00 - LUNCH
1:00 - METHODS OF ORGANIZING AND PRESENTING WRITTEN REPORTS
2:15 - BREAK
2:30 - FOLLOWUP AND IMPACT ASSESSMENT PROCEDURES
3:15 - COURSE SUMMARY

WORKSHOP ASSIGNMENTS

PRESURVEY PROBLEM IDENTIFICATION WORKSHOP

1. Analyze all available information sources to identify (1) potential personnel program strengths, (2) personnel problem areas, and (3) those managerial and organizational issues which impact on the utilization of manpower resources.
2. To facilitate the handling of data, we suggest that team member assignments be made to avoid or minimize duplication of efforts. This format is recommended:

Team Members	Data Source
2	Background Information FSPA Notification Letter Team Leader's Advance Visit Memo
1	Questionnaire Printout (CSC Form 1088)
2	FSPA Advance Information Units (Divide roughly in half for each member)

3. Team members brief each other on findings.
4. Team prepares list of (1) potential personnel program strengths, (2) personnel problem areas, and (3) those managerial and organizational issues which impact on the utilization of manpower resources. Record list on Student Worksheet, Presurvey Problem Identification.

SURVEY PLAN WORKSHOP

1. Each team prepares a comprehensive survey plan for evaluating the FSPA Central Region.
2. Use the following handouts: Survey Plan for Onsite Work and Student Worksheet, FSPA Survey Plan.
3. Refer to: (1) Results of Pre-Survey Problem Identification Workshop and (2) all available data, but especially the Notification Letter.
4. Be prepared to give a brief summary of the survey plan. Team leaders rotate to another team and outline plan; the team suggests changes which the team leader then shares with his team.
   ALTERNATIVE CRITIQUE METHOD: General discussion on the features of the various team plans in order to develop a composite survey plan which could be used by all teams in subsequent workshops.

PLANNING AND CONDUCTING THE OPENING CONFERENCE

1. Each team prepares a working outline for an opening conference. Use data developed in previous workshops.
2. Refer to: (1) Sample Opening Conference Outline and (2) Opening Conference Outline.
3. Each team leader presents opening briefing to another team. This team assumes roles of top management officials, using FSPA Manager Roles.
4. The team acting as management officials completes a short critique form of the presentation, using Opening Conference Critique.
5. The team leader will return to his team and present critique highlights.

THE EVALUATION INTERVIEW

I. Preparation
1. Each team meets to prepare an interview strategy, with a list of key questions which they intend to ask managers.
2. Refer to:
   a. Sample Interview Guide #1.
   b. Sample Interview Guide #2.
3. Each team member should prepare for one to two interviews. After all preparations are completed, results should be discussed.
4. The following FSPA personnel are scheduled for interviews:
   a. Supervisory Civil Engineer, GS-810-15.
      Office of Direct Federal Construction
   b. Supervisory Civil Engineer, GS-810-13
      Design Unit, Design Division
      Office of Direct Federal Construction
   c. Engineering Technician, GS-802-10 (Black)
      Project Office #1, Office of Direct Federal Construction
   d. Grants Specialist, GS-1101-11 (Employee Requested)
      Grants Application Branch, Grants Division
   e. Civil Engineer, GS-810-13
      Team 2, Solar Energy Research Division
   f. Supervisory Civil Engineer, GS-810-14
      Project Office #3, Office of Direct Federal Construction
   g. Engineering Draftsman, GS-818-4 (Female)
      Drafting Unit, Design Division
      Office of Direct Federal Construction
   h. Card Punch Operator, GS-356-3 (Female)
      ADP Branch, Technical Services Division

II. Practice Role Play Sessions
1. Read Role Play Instructions.
2. Employee roles are assigned to team members in the order their names appear on the rosters. The last name acts as the first evaluator.
3. To take notes, use Interview Worksheet.
4. All except the evaluator can read the assigned role play script ahead of time. The evaluator is to get a copy of the employee role after the mock interview.
5. The team conducts an oral and written critique of each session, based on Interview Critique Form. Each team member should complete the critique sheet and give it to the evaluator.

III. Class Discussion
1. Participate in class discussion of questions raised during practice sessions.
2. Also a joint review of FSPA Interview Summary Sheet.

PERSONNEL PROGRAM AND REGULATORY REVIEW

I. Plan for Program Review

1. Each team is to develop a brief strategy for reviewing the following functional areas from both a program and regulatory perspective:
    a. Position Management and Position Classification.
    b. Staffing (including merit promotion).
    c. Employee Relations.
    d. Training.
    e. EEO.
    f. LMR.
2. Program Review Questions:
    a. What information do you need to know about actual FSPA operations of each cited personnel program area in order to conduct a review?
    b. How much do you already have as a result of presurvey analysis and interviews?
    c. How would you go about filling the gaps?
3. Regulatory Review Questions:
    a. What FSPA personnel documents (records, actions, reports, folders) are to be made available for review?
    b. Where would you concentrate your personnel action reviews (organizational location)? Why? What type of actions would you look for? Heavier review of any one type, e.g., promotions, appointments, etc.?
    c. Where would you concentrate your classification reviews? What kinds of positions would you look at? Why?
4. Team assignments can be worked on one of two ways, but the final choice is up to the teams.
    a. First, members work individually on basis of personnel areas for which they have been responsible in the course. Then, as a team, construct the group solution.
    b. Work as a team throughout to construct the group solution.
5. Report results to the class and discuss.

II. Discussion with Functional Chiefs

1. Each team will choose two members to assume roles of the Personnel Officer and the EEO Officer.
2. These two individuals will receive role play instructions (Program Review Role Plays 1 and 2), study roles briefly, and receive additional oral instructions from the course director.
3. Then they will move on to another team, there to be interviewed on personnel program area issues cited earlier (see above).
4. The team decides if one person conducts interviews or if all ask questions for their assigned program areas. Use handout, Some Suggested Program Coverage Questions.

III. Review of Promotion Actions (Optional)

1. Each team will examine information on merit promotion to (1) identify questionable operating procedures, and (2) identify any regulatory violations or irregularities.
2. This information includes:
   a. Merit Promotion Survey Information.
   b. Highlights of the FSPA Central Region MPP.
   c. FSPA Vacancy Listings.
   d. FSPA Vacancy Announcements.
   e. FSPA SF 50s.
3. Team reports on findings for class discussion. Workshop concludes with general analysis of FSPA Regulatory Review Summary.

PROBLEM IDENTIFICATION AND SOLUTION

1. List all concerns thus far noted and locate in appropriate program areas.
2. Further separate concerns (situations) into two categories:
   a. Those that appear to be symptoms or effects of more basic problems.
   b. Those that appear to be the principal concerns.
   c. Establish rough priority order for dealing with each principal concern. (High - Moderate - Low).
3. Refer to handout, Problem Identification-Solution Model, to analyze as many high priority situations as possible in the time allotted.
4. Also use Problem Analysis Worksheet as a working guide.
5. Work individually and/or as a team.
6. Be prepared to report to the class on one or more problems as requested by the instructor.

PREPARING FOR THE CLOSING CONFERENCE

Prepare a report of findings and recommendations to be used for an oral closing conference with the Regional Director.

1. Outline major issues and problems to be covered and solutions you will recommend.
2. Determine how you will organize the material to motivate the manager to implement recommendations.
3. Determine which presentation approach to use and how responsibilities will be divided.
4. Conduct a dry run if time permits.

CONDUCTING THE CLOSING CONFERENCE

1. Each team leader and key assistant(s) present closing briefing to another team. Remaining team members assume roles of top management officials in the closing conference with the visiting team leader. Management officials will ask for any necessary clarification and question any findings which appear questionable or unsupported.
2. At the conclusion, management officials provide a brief critique to the team leader and key assistant(s). The team leader and assistant(s) return to their team and present the highlights of the critique. Use the Closing Conference Critique form.
3. All teams report back for general discussion.

METHODS OF ORGANIZING AND PRESENTING WRITTEN REPORTS

1. Each team (1) establishes objectives to be achieved through the report, (2) selects or creates an appropriate report format, and (3) prepares a brief report outline based on their closing conference notes. Be prepared to explain the basis for your format selection.
2. Each team trades its report outline with another team.
3. Use Student Worksheets Report Outline and Written Report Critique.

FOLLOWUP AND IMPACT ASSESSMENT PROCEDURES

Each team will construct a plan for followup and impact assessment of FSPA Central Region based on information developed in previous workshops.

1. Determine whether formal followup of FSPA Central Region is warranted.
2. Determine if other followup techniques we have not covered might be appropriate.
3. If formal review is warranted, how will you structure it?
4. Reconvene with entire class for analysis of results.

EVENING ASSIGNMENTS

FIRST NIGHT

1. Review Section C, Opening Conference, pp. 38-40, and Section E, Onsite Activities, pp. 40-42, in "The Survey Process," FPM Supplement (Int.) 273-73, Book I, Subchapter 3.
2. Read Sample Opening Conference Outline.
3. Read Tasks A-B-C-D of Interviewing Section in Behavioral Blueprint.
4. Read Sample Interview Guide #1.
5. Read Sample Interview Guide #2.
6. Read Role Play Instructions.
7. Read Workshop Instructions.

SECOND NIGHT

1. Read CSC Operations Letter 273-702, Revised Guidelines for Regulatory Coverage of Classification and Staffing.
2. Read Tasks A-B-C-D of Personnel Administration System Review Section in Behavioral Blueprint.
3. Review Problem Identification-Solution Model.

THIRD NIGHT

1. Review Sample Closeout Notes.
2. Review Subchapter 3-5, pp. 49-53, and Subchapter 3-6, pp. 53-59, in FPM Supplement (Int.) 273-73, Book I.
3. Read The Written Report.

THE GOVERNMENTWIDE PERSONNEL MANAGEMENT EVALUATION PROGRAM

QUIZ

1. T F Personnel management refers specifically to the programs, systems, procedures, and techniques used or developed by personnel specialists to help managers carry out their basic management responsibilities and their legal, regulatory, or other public policy obligations.

2. T F One important Federal personnel management objective is to establish and maintain a career system to provide opportunities for advancement through training, education, development, and utilization in accordance with employee interests and abilities.

3. T F Personnel management generally flows from three major centers of responsibility: top management, the first-line supervisor, and the personnel office.

4. T F The role of the personnel officer or specialist involves acting as a buffer between management and employees.

5. T F The three major elements of effective agency personnel management are (1) planning, (2) operations, and (3) evaluation.

6. T F Both agency personnel management goals and the evaluation plan should be stated in writing.

7. T F The Civil Service Commission sets minimum and maximum requirements for agency personnel management evaluation systems.

8. T F Agency personnel management evaluation capabilities need exist only at the headquarters level.

9. T F The prime purpose of the Civil Service Commission personnel management evaluation function is to police agency personnel actions.

10. T F The Civil Service Commission now stresses a more active, more direct, and continuous agency role in the evaluation of personnel management, with the Commission tailoring its direct review of agency personnel operations, to complement the effectiveness of existing agency evaluation systems.

THE GOVERNMENTWIDE PERSONNEL MANAGEMENT EVALUATION PROGRAM

QUIZ

Scoring Key

1. False
2. True
3. True
4. False
5. True
6. True
7. False
8. False
9. False
10. True

RESPONSIBILITIES OF PERSONNEL MANAGEMENT EVALUATORS

Personnel management evaluators have certain common responsibilities whether they be agency or Civil Service Commission personnel. This applies equally whether the evaluation assignment is full or part-time and whether the evaluator is a personnel specialist, an operating manager, or a staff specialist from another field.

PROBLEM IDENTIFICATION. Using a variety of methods, the evaluator gathers and analyzes information upon which to base judgments about the effectiveness of personnel management at the establishment, bureau, or agency level. The analyses are aimed at identifying existing or incipient problems in personnel management, especially as they may have an adverse impact upon mission accomplishment.

INFORMATION COLLECTION. The gathering and analysis of information during an evaluation are not aimed solely at the identification of problems. The evaluation process is also a means of determining the status of particular segments of personnel management. The evaluator thus has a responsibility for special purpose information collection.

LEGAL AND REGULATORY REVIEW. The evaluator examines individual actions taken under delegated authorities, including position classification and job grading actions and a variety of other types of personnel actions. The review of personnel actions is first of all a check of compliance with applicable laws and regulations. The evaluator does not limit this review to issues of compliance and correction, however. Information relevant to the substantive evaluation of personnel management is derivable from the examination of cases and often provides useful indicators of root problems in the roles of managers and supervisors.

PROBLEM SOLUTION. The evaluator does not simply identify problems and leave their solutions to others. His responsibilities include a key role in formulating or helping to formulate courses of action which will solve identified problems and improve the quality of personnel management. Nor is the evaluator's responsibility necessarily fulfilled when the officials with action responsibility have agreed upon appropriate actions. The evaluator, at the initiative of the evaluating organization or of the organization surveyed, will, at times, return to followup on progress and assist in achieving further improvement.

ADVICE AND ASSISTANCE. During the many contacts with employees, supervisors, managers, union representatives, and personnel staffs which occur in the evaluation process, the evaluator frequently encounters or is asked about personnel management matters which may not be directly connected with the problems being identified in the evaluation itself. He has, however, a further responsibility to provide advice and assistance on personnel management, by explaining policies and programs, and by stimulating implementation of new policies and methods.

PERSONNEL MANAGEMENT EVALUATOR TASK STATEMENTS

PROGRAM OPERATION ASSIGNMENTS

Identifies and selects the most appropriate evaluation method(s) -- onsite evaluation survey, personnel questionnaire survey, management self-evaluation reports, management committee evaluations, and goals accomplishment -- to use in assessing personnel management effectiveness.

Consults with installation personnel and management officials in order to evaluate personnel management goals and programs.

Supervises team activities through all phases of the onsite survey process. (Team leader only.)

SURVEY ASSIGNMENTS

Presurvey Planning

Assigns program coverage to team members according to level of abilities, experience, training, interest. (Team leader only.)

Reviews appropriate written material to obtain thorough knowledge of mission, operating programs, and personnel management activities.

Schedules and requests advanced information from appropriate data sources.

Administers questionnaires to managers, supervisors, and employees.

Interprets advanced information units and questionnaire results to identify potential problem areas.

Develops or participates in developing the survey plan to be used in onsite work.

Onsite Survey

Conducts/participates in opening conferences.

Conducts interviews onsite: manager, supervisor, employee, employee requested, employee representative, personnel officials, other technical staff members.

Reviews personnel program operations to ensure compliance with applicable laws, Executive Orders, rules, regulations, and policies.

Conducts classification review: selects audit samples, reviews position descriptions and evaluation statements, onsite audits, etc.

Identifies personnel management problems; determines cause or combination of events that produce the condition specifically described in the problem; determines possible solutions and discusses them with management in order to motivate corrective action.

Coordinates onsite findings with other team members and prepares material for team discussions.

Conducts/participates in closing conference, using visual aids, materials, and notes that will provide maximum impact. Discusses significant highlights, weaknesses, and recommendations with top manager, personnel officer, and other key staff.

Written Report

Prepares the formal written report (in all or in part) including supporting information for any suggestions, recommendations, or required actions.

Followup and Impact Assessment

Follows up on installation compliance reports by phone or correspondence.

Conducts assistance visits to installations to provide advice and assistance.

Conducts/participates in followup reviews.

Assesses effectiveness of corrective actions taken and recommends appropriate changes in actions or in objectives.

PERSONNEL MANAGEMENT EVALUATOR SKILLS/KNOWLEDGES PROFILE

Personnel Management Functions and Programs

Staffing

Manpower Planning
Recruitment and Examining
Selection and Placement
Reduction-in-force

Position and Pay Management

Work Organization and Position Management
Classification-GS and WG
Pay and Benefits Administration

Workforce Utilization

Employee Relations and Services
Performance Management
Adverse Actions and Appeals
Labor-Management Relations
Occupational Health and Safety

Training and Development

Assessing Training Needs
Developing/Administering Training Programs
Utilizing Training Resources
Evaluating Training Results

Equal Employment Opportunity

Affirmative Action
Upward Mobility
Complaint and Counseling Processes

Records and Reports

Personnel Records and Files
Personnel Action Compliance
Reports

Management, Evaluation, and Basic Background Requirements

Basic Background Knowledge

Principles and Practices of Public Administration
Principles and Concepts of Public Personnel Administration
Applied Behavioral Science
Legal and Regulatory System and Requirements
Structure of CSC-Agency Relationships

Management of a Function

Management Coordination
Program Planning, Development, and Evaluation
Personnel Management, Supervision, and Staff Development
Labor-Management Relations, Negotiation, and Administration

Evaluation of Program Management Effectiveness

Development and Assessment of Internal Evaluation Systems
Planning and Conducting Evaluation Surveys
Factfinding Methods and Techniques
Data Collection, Measurement, and Analysis
Problem Identification and Solution
Legal and Regulatory Compliance
Consultative and Advisory Services
Reports and Presentations
Evaluation Program Management

IAG-266 Subcommittee on
Training for Evaluation

BEHAVIORAL BLUEPRINT

Job: Personnel Management/Administration Evaluator

Duty: Interviewing

Task A: Interview various personnel in such a way as to effectively, efficiently, and accurately obtain information.

Elements:

1. Know how to listen.
2. Manage the interview to gather information on the areas pertinent to the survey.
3. Make careful notes.
4. Be sensitive to tension in the interview.
5. Put the interviewee at ease.
6. Pursue in detail areas which should be fruitful.
7. Plan an interview schedule, showing when and who to interview.
8. Handle confrontation or emotional situations which may develop.

Task B: Interview key managers in order to determine the leadership, support, and responsibility exercised by them.

Elements:

1. Select an approach which will reveal how each manager perceives his personnel management responsibilities, the problems he encounters in meeting his management obligations, and what he has done or is doing about them.
2. Emphasize success or problems in meeting objectives, rather than procedure or techniques.

3. Cover the areas indicated by the team leader or interview guide, if provided, while also reflecting the concerns of the key manager interviewed.

Task C: Interview a sampling of employees and supervisors.

Elements:

1. Select a sample of supervisors and employees to interview.
2. Know when the sample can be curtailed or needs to be expanded.
3. Explain the survey and stress the confidentiality of the interview.
4. Develop useful information on the knowledge, authority, and performance of supervisors.
5. Be aware of, and sensitive to, invasion of privacy, over-generalization, personal employee problems, and pursuit of cases.

Task D: Interview officers of local employee organizations.

Elements:

1. Seek out appropriate, designated representatives to obtain their views.
2. Limit the discussions to an exchange of information. (Discussion of individual cases, except for illustrative purposes, should be avoided.)

Duty: Personnel Management Problem Identification and Solution

Task A: Identify personnel management problems by distinguishing between the root problem and symptoms.

Elements:

1. Identify and define the problem as specifically or precisely as possible utilizing available materials, e.g., questionnaire and interview results, data, records, etc.

2. Search carefully for certain kinds of facts that will draw a boundary line around the problem

Task B: Determine the true cause, or combination of events that produce the condition specifically described in the problem.

Elements:

1. Determine how many of the "problems" are actually symptoms.
2. Identify most likely causes by testing tentative cause and searching for any exception that can be found to the possible explanation of the problem.

Task C: Once problems have been identified and causes isolated, determine possible solutions and recommendations and discuss them with management.

Elements:

1. Determine how the various personnel management programs can be employed in the solution of the management problem.
2. Develop realistic, practical, and economical solutions by defining objectives and developing several alternatives.
3. Fix responsibility and gear recommendations to that level of management at which responsibility lies and at which corrective action should be taken.
4. Discuss the problem, causes, and recommended actions or alternative actions with management.

Duty: Personnel Administration System Review

Task A: Review the planning, management, and operation of personnel functions.

Elements:

1. Examine statements of functional objectives, plans, projections, local instructions, and other pertinent documents.

2. Discuss the status of the functional program with the functional head in terms of the evaluation handbook questions and any local self-evaluations that have been conducted.

3. Examine required files of operating documents pertaining to the function, e.g., position description files, applicant supply files, training evaluations, course records, etc., to determine if they have been established and adhere to applicable requirements.

4. Consider trends in findings, preliminary indications of problems, and significant cases.

5. Bring those trends, etc., mentioned in 4, above, requiring the special attention of other team members to their attention.

6. Communicate informally with functional specialists and the functional head during the evaluation process to verify facts, test possible solutions, and where possible, motivate interim action.

7. Sort out, analyze, and categorize all data collected.

Task B: Review selected personnel action cases to determine whether legal, regulatory, and procedural requirements have been met.

Elements:

1. Select a sampling of cases which is representative of the actions processed during the past year.

2. Exercise considerable sensitivity and judgment in looking at selected cases in terms of conformance with merit principles and good management practices.

3. Determine the preliminary results of the regulatory review and discuss them with the team leader and other team members as indicators of possible problems which may impact on a portion of or the total personnel management program of the activity.

4. Expand the original sample, if necessary.

5. Discuss individual cases with functional specialists or functional head(s) to obtain or verify facts and gain insight into the technical competence of staff and internal workings of the office.

6. Assess the final results and categorize defective cases as violations, regulatory errors, or record-keeping errors.

7. Motivate personnel office staff to immediately commence action that will result in improvement of total personnel action processing as well as correcting individual actions.

Task C: Review selected positions, position descriptions, and supporting documentation to determine whether classification actions are in accordance with CSC standards and guidelines and reflect effective position management practices.

Elements:

1. Review sufficient position descriptions and supporting documentation to assess on a prima facie basis the accuracy of assigned classifications.

2. Review simultaneously personnel listings, organization charts, functional statements, delegations of authority, manpower, or other reports for clues to possible duplication, overlap, fragmentation, and excessive numbers of supervisors.

3. Select a sampling of positions to desk and/or supervisory audit, if appropriate.

4. Discuss the results of the above reviews as potential problems or possible misclassifications.

5. Gain agreement to the extent possible on appropriate classification actions.

Duty: Evaluation Survey Team Leadership

Task A: Plan and prepare for the personnel management evaluation.

Elements:

1. Determine the objectives and coverage of the survey.

2. Notify the installation head.

3. Establish the composition of the team, the assignments, and a work plan.

4. Make provision for analysis of available data, questionnaire results, previous reports, and other information.

5. Communicate the results of 4, above, to the team members.

6. Insure that all members understand their role, sampling procedures, guidelines, and processes to be followed.

7. Provide for administrative details, e.g., office space, interview schedules, and notification to employees.

Task B: Conduct the survey.

Elements:

1. Inform the head of the installation and the personnel officer and his staff of survey objectives and procedures in such a way as to engender a willingness for management participation in the evaluation process and to insure an open two-way channel of communication during the survey.

2. Insure interchange of information.

3. Determine those things which must be pursued, those which should be exposed early to the personnel officer, and those which can be accepted as tentative findings.

4. Prepare a closeout briefing, which will pinpoint the appropriate findings or combination of findings and requisite recommendations.

5. Brief the installation head on the salient findings and recommendations.

6. Lead a more detailed briefing of the personnel officer and his key staff.

7. Present the results in each instance in such a way as to accurately characterize the status of personnel management and to motivate immediate steps to act on the results.

Task C: Prepare the report.

Elements:

1. Provide guidance to the members of the team who are to write sections of the report.
2. Insure that the report is reflective of the status of the areas covered and of the required actions and recommendations agreed upon during the survey.

Submitted: ______________________
Howard P. Harrison
Subcommittee Chairman
August 14, 1973

EVALUATION APPROACHES

	ROLES OF EVALUATOR AND CLIENT	SOME POSSIBLE DIFFICULTIES WITH EACH APPROACH
More Evaluator Centered	Policeman Model Evaluator identifies problem and solution, tells client to comply.	-- Resentment and resistance by client. -- Lack of client commitment to improvement. -- Superficiality of problems and solutions.
	Doctor-Patient Model Client asks evaluator what is wrong with organization and what should be done.	-- Client withholding and distorting information. -- Disagreement on diagnosis or client unwillingness to believe diagnosis. -- Excessive factfinding may be required to develop reliable solutions.
	Purchase Model Client identifies problem and requests information or service from evaluator	-- Client misdiagnoses problem or fails to communicate it accurately. -- Client may not follow through on purchased solution (report). -- Client becomes dependent on evaluator.
More Client Centered	Helper or Process Model Evaluator's activity helps client perceive and act upon events in his environment. Evaluator suggests challenging alternatives, client decides.	-- Evaluator may advance solutions prematurely. -- Client may be unable or unwilling to participate in the evaluation process. -- Evaluator may not pass on evaluation skills to client.

PLANNING THE

ONSITE SURVEY

CONTENT OF THE NOTIFICATION LETTER

The scheduling letter to the manager of the establishment to be evaluated should contain at a minimum:

- The purpose, dates, and coverage of the survey.
- An expression of willingness to provide advice and assistance on personnel management matters, and a request that management identify and be prepared to discuss any problems on which the evaluation team should concentrate.
- A reminder to management of the need to notify the labor organization with which they normally do business and all employees (see CSC Form 926).
- A request for information needed from the activity prior to the onsite survey. (See instructions for use of advance information units, appendix B of this

Since the establishment head may or may not be aware of our nationwide plan coverage, it is important that adequate emphasis be placed on:

- The specific program areas to be covered.
- Any local coverage different from that in the nationwide plan.

Particular attention should be directed to the wording and emphasis of notification letters. As appropriate, letters of notification addressed to the head of the establishment should be characterized by:

- Warm, personal language expressing interest in gaining an appreciation of agency problems related to personnel management.
- Specific comments reflecting knowledge of the agency's personnel management program. For example, reference to previous evaluation findings or information on progress or difficulties which have come to the attention of the reviewing office since the last survey.
- Brevity. One useful technique is to use personal letters to the agency head with detailed information given in attachments. The attachments can be distributed to agency offices or staff with delegated program responsibility.

STUDENT WORKSHEET

PRESURVEY PROBLEM IDENTIFICATION

I. PROGRAM AREAS TO BE COVERED

II. AREAS OF APPARENT STRENGTH

III. POTENTIAL PROBLEMS OR AREAS OF CONCERN TO BE EXPLORED ONSITE

PROBLEM	INFO SOURCE

IV. PLANS FOR SHARING QUESTIONNAIRE RESULTS

QUESTIONNAIRE ANALYSIS PRINTOUT

Personnel Management Questionnaire

Percentile Ranking of Employee Groups

- - - - - - - - - - - - - - - - - -

Through the use of percentile rankings, these tables show how the questionnaire responses of employees who participated in this survey compare to responses of similar employees in previous surveys.

The following examples illustrate how the percentile values may be interpreted:

Percentile	Interpretation
90	These employees gave more favorable responses than similar employees in 89 out of 100 previous surveys, or only 10 times out of 100 have employees answered more favorably--a very favorable response.
50	These employees gave a typical or average response--about half the time other employees respond more favorably; about half the time, less favorably.
10	In 90 surveys out of 100 employees respond more favorably than this--an unfavorable response.

Percentile values have not been computed for groups of less than 20 employees.

Personnel Management Questionnaire Analysis Part A

Agency Code:

	Total	GS 1-4	5-8	9-11	12+	W 1-4	5-8	9+
Number of Employees	443	50	114	72	198		1	
Percentile Rankings								
A. Job Information, Performance Evaluation & Training								
12. Able to find out things about job	28	62	27	3	27			
11. Get needed advice on method & probs.	58	97	61	15	42			
19. Have clear idea of quality expected	10	7	42	5	29			
39. Kept informed of how you are doing	78	78	66	56	58			
20. Encouraged to develop skills & abilities	74	87	86	47	29			
10. Get training needed to do job well	14	39	43	6	8			
13. Received agency training	14	41	39	4	1			
14. If so, was training effective	21	41	22	4	46			
B. Work Organization & Manpower								
38. Work planned	5	7	6	2	13			
08. Receive direction from more than 1 person	28	16	6	14	45			
37. Receive conflicting assignments	22	16	30	25	13			
28. Enough people to do job right	8	21	29	11	5			
32. Given enough work	50	31	75	23	53			
33. Given too much work to do a good job	30	83	74	62	10			
29. Using skills & abilities	36	44	50	12	44			
31. Higher level empl. do lower level work	4	73	61	10	6			
C. Rewards & Promotions								
09. Pay fair for job done	46	11	47	6	21			
21. Given credit when job done well	98	99	93	95	78			
30. Doing work you like	12	4	4	3	45			
18. Promotions fair	52	65	76	7	28			
15. Satisfied with opportunities	69	79	57	56	39			
16. Able to find out about promotions	19	76	24	8	11			
17. Able to gain exp. & trng. for promotion	90	67	91	82	54			

Personnel Management Questionnaire Analysis Part A

Agency Code:

Page 002

	Total	GS 1-4	5-8	9-11	12+	W 1-4	5-8	9+
D. Services, Benefits & Working Conditions								
34. Able to take annual leave	44	55	75	56	10			
43. Sick leave policies fair	64	69	30	61	32			
45. Safety satisfactory	47	75	13	35	35			
46. Work materials/equipment satisfactory	91	67	92	87	68			
47. Lighting satisfactory	64	35	57	76	32			
48. Cleanliness satisfactory	40	73	44	36	27			
49. Eating facilities satisfactory	18	16	14	19	36			
50. Transportation satisfactory	60	60	67	54	43			
51. Health services/first aid satisfactory	3	3	2	2	9			
E. Human Relations								
22. Notified of changes	14	40	27	4	20			
23. Comments solicited	95	27	83	78	76			
25. Discuss dissatisfaction with supervisors	36	52	51	25	34			
24. Cooperation	53	81	60	14	27			
40. Able to try new methods	84	69	80	54	62			
41. Have say	85	53	76	75	59			
42. Not enough delegation for decisions	66	43	71	14	45			
F. Output & Organizational Effectiveness								
26. People do a good job	49	78	52	19	24			
27. People improving performance	51	57	48	34	29			
35. Management interest in ideas	71	85	84	47	27			
36. Agency improves methods/operations	38	81	66	22	10			
44. Organization doing a good job	52	81	13	4	29			

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Personnel Management Questionnaire Analysis Part B

Agency Code:

	Org A	Org B	Tot GS	Tot WG	New emp	Sup GS
Number of Employees	174	269	454	1	228	135
Percentile Rankings						
A. Job Information, Performance Evaluation & Training						
12. Able to find out things about job	16	39	23		25	27
11. Get needed advice on method & problems	65	54	50		53	35
19. Have clear idea of quality expected	6	14	12		12	20
39. Kept informed of how you are doing	90	67	74		67	55
20. Encouraged to develop skills & abilities	88	62	73		51	43
10. Get training needed to do job well	10	18	13		8	11
13. Received agency training	42	5	12		26	1
14. If so, was training effective	14	23	25		7	45
B. Work Organization & Manpower						
38. Work planned	3	6	5		12	3
05. Receive direction from more than 1 person	38	23	32		25	56
37. Receive conflicting assignments	15	27	14		12	11
28. Enough people to do job right	4	13	8		8	6
32. Given enough work	62	43	51		55	27
33. Given too much work to do a good job	11	46	29		19	20
29. Using skills & abilities	59	24	41		50	64
31. Higher level empl. do lower level work	7	2	5		8	6
C. Rewards & Promotions						
09. Pay fair for job done	54	41	44		33	41
21. Given credit when job done well	99	97	97		81	81
30. Doing work you like	31	5	11		46	45
18. Promotions fair	87	27	54		47	24
15. Satisfied with opportunities	92	48	69		58	58
16. Able to find out about promotions	49	8	18		20	10
17. Able to gain exp. & trng. for promotion	94	87	89		76	78

Personnel Management Questionnaire Analysis Part B

Agency Code:

D.	Services, Benefits & Working Conditions					
34.	Able to take annual leave	48	41	47	67	7
43.	Sick leave policies fair	62	65	57	80	22
45.	Safety satisfactory	77	28	40	55	32
46.	Work materials/equipment satisfactory	94	89	67	90	80
47.	Lighting satisfactory	81	51	58	65	43
48.	Cleanliness satisfactory	86	14	45	55	20
49.	Eating facilities satisfactory	54	6	21	20	29
50.	Transportation satisfactory	83	43	59	65	39
51.	Health services/first aid satisfactory	23	1	2	7	3
E.	Human Relations					
22.	Notified of changes	26	9	12	19	8
23.	Comments solicited	98	92	91	90	70
25.	Discuss dissatisfaction with supervisors	51	59	54	54	52
24.	Cooperation	43	60	49	46	32
40.	Able to try new methods	89	79	81	85	75
41.	Have say	79	88	81	86	70
42.	Not enough delegation for decisions	63	67	61	69	60
F.	Output & Organizational Effectiveness					
26.	People do a good job	82	26	46	64	9
27.	People improving performance	76	34	53	59	27
35.	Management interest in ideas	97	37	68	74	26
36.	Agency improves methods/operations	74	19	33	59	13
44.	Organization doing a good job	44	25	27	36	17

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U. S. CIVIL SERVICE COMMISSION
SURVEY OF PERSONNEL MANAGEMENT

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EMPLOYEE QUESTIONNAIRE

This questionnaire is part of a personnel management survey being conducted by the Civil Service Commission and your agency. We want to find out, from the questionnaire, how employees look at personnel management matters that affect their jobs. Your cooperation in completing this questionnaire will help to insure that employee views are fully considered in our overall evaluation.

This is not a test with right or wrong answers. What you answer to any question will be kept strictly confidential, and we ask that you DO NOT SIGN YOUR NAME. Completed questionnaires will be tabulated and analyzed by the Civil Service Commission and only summaries will be reviewed to help in planning any needed improvements in personnel management.

Read each question carefully and decide how you feel about it. Choose the answer closest to your opinion and mark (X) the box next to that answer. If you feel the answer is yes or mostly yes, mark yes. If the answer is no or mostly no, mark no. If you really cannot decide about a question, mark the "?" box. Please mark only one answer for each question.

You may complete the questionnaire on working time or take it home with you. Please mail us the completed questionnaire in the attached envelope within 48 hours.

Thank you for your help.

CSC Form 1088
JUNE 1971

Please mark (X) the answer which best describes your situation:

1. How long have you worked for your agency?

☐ Less than 2 years (1)
☐ 2 to 4 years (2)
☐ 5 to 10 years (3)
☐ 11 to 20 years (4)
☐ More than 20 years (5)

2. What is your pay category?

☐ GS (General Schedule) (1)
☐ WG, WL, WS (Wage System) (2)
☐ Other (3)

3. What is your current pay grade?
(GS, WG, WL, WS, or other)

☐ 1 to 4 (1)
☐ 5 to 8 (2)
☐ 9 to 11 (3)
☐ 12 to 13 (4)
☐ 14 or above (5)

4. What is your highest level of education?

Less than high school graduate ☐ (1)
High School graduate ☐ (2)
Attended technical vocational or business school ☐ (3)
Bachelors degree ☐ (4)
Advanced degree ☐ (5)

5. How long have you worked for your present supervisor?

Less than 6 months ☐ (1)
6 months to 1 year ☐ (2)
1 to 2 years ☐ (3)
2 to 3 years ☐ (4)
More than 3 years ☐ (5)

6. How long has it been since you were promoted to a higher grade in your agency?

Never ☐ (1)
Less than 1 year ☐ (2)
1 to 2 years ☐ (3)
2 to 3 years ☐ (4)
More than 3 years ☐ (5)

7. Are you a supervisor?

YES ☐ (1) NO ☐ (2)

Place an "X" in the box by the answer which is most nearly true, in your opinion:

	YES	?	NO
8. Do you regularly receive directions and work assignments from more than one person?	☐ (1)	☐ (2)	☐ (3)
9. Is your pay fair for the job you do?	☐ (1)	☐ (2)	☐ (3)
10. Are you able to get the training you need to do your job well?	☐ (1)	☐ (2)	☐ (3)
11. Are you able to get advice on work methods and problems when you need it?	☐ (1)	☐ (2)	☐ (3)
12. Are you able to find out the things you need to know about your job?	☐ (1)	☐ (2)	☐ (3)

	YES	?	NO
13. Have you received training from your agency?	☐ (1)	☐ (2)	☐ (3)
14. If yes, has this training made you more effective on your job or better prepared for promotion?	☐ (1)	☐ (2)	☐ (3)
15. Are you satisfied with your opportunities for promotion?	☐ (1)	☐ (2)	☐ (3)
16. Are you able to find out the things you need to know about promotions? (Such as job openings, ways of being considered, experience and training requirements, etc.)	☐ (1)	☐ (2)	☐ (3)
17. Do you have the opportunity to gain experience or training for higher level work?	☐ (1)	☐ (2)	☐ (3)
18. Do you think that promotions are given fairly?	☐ (1)	☐ (2)	☐ (3)
19. Do you have a clear idea of the quality expected in your work?	☐ (1)	☐ (2)	☐ (3)
20. Are you encouraged to develop your skills and abilities?	☐ (1)	☐ (2)	☐ (3)
21. Are you given credit when you do a job well?	☐ (1)	☐ (2)	☐ (3)
22. Are you notified in advance of changes in policy or procedures which will affect your job?	☐ (1)	☐ (2)	☐ (3)
23. Are you asked for your comments on proposed changes?	☐ (1)	☐ (2)	☐ (3)
24. Is there enough cooperation in carrying out the work?	☐ (1)	☐ (2)	☐ (3)
25. Do people feel free to discuss their dissatisfactions with supervisors?	☐ (1)	☐ (2)	☐ (3)

26. Do people you work with generally do a good job?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
27. Are people you work with improving their job performance?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
28. Are there enough people where you work to do the job right?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
29. Are you making good use of your skills and abilities on your job?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
30. Are you doing the kind of work that you like to do?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
31. Do higher level employees do too much lower level work?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
32. Are you given enough work to do?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
33. Are you given too much work to be able to do a good job?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
34. Are you usually able to take annual leave when you need to?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
35. Are people up the line interested in ideas about better ways to get the work done?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
36. Does your agency make improvements in methods and operations?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
37. Do you receive conflicting work assignments?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
38. Is work planned before it is started?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)
39. Are you kept pretty well informed of how you are doing on the job?	YES ☐ (1)	? ☐ (2)	NO ☐ (3)

	YES	?	NO
40. Are you allowed to try new work methods on the job?	☐ (1)	☐ (2)	☐ (3)
41. Do you have enough say in how to do your work?	☐ (1)	☐ (2)	☐ (3)
42. Are you required to get approval for decisions you should be able to make yourself?	☐ (1)	☐ (2)	☐ (3)
43. Are policies in your office regarding the use of sick leave fair?	☐ (1)	☐ (2)	☐ (3)
44. Do you think that, overall, your organization is doing a good job?	☐ (1)	☐ (2)	☐ (3)

Would you rate the following satisfactory at your job location?

	YES	?	NO
45. Safety	☐ (1)	☐ (2)	☐ (3)
46. Work materials and equipment	☐ (1)	☐ (2)	☐ (3)
47. Lighting	☐ (1)	☐ (2)	☐ (3)
48. Cleanliness	☐ (1)	☐ (2)	☐ (3)
49. Eating facilities	☐ (1)	☐ (2)	☐ (3)
50. Transportation	☐ (1)	☐ (2)	☐ (3)
51. Health services and first aid	☐ (1)	☐ (2)	☐ (3)

52. Use this page to make any comments or suggestions. If your comments relate to a specific item in this questionnaire, please show the question number.

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FEDERAL SOLAR POWER ADMINISTRATION
ADVANCE INFORMATION UNITS

NOTIFICATION OF EMPLOYEES AND LABOR ORGANIZATIONS

Please notify employees, and the representatives of employee unions and associations with which you normally do business, of the dates of the evaluation survey.

General

One person in your organization should be designated in the notification as coordinator for those desiring to talk with members of the survey team. Please make clear, however, that our advisors may be contacted directly during the review. The notification should explain how and where advisors may be contacted during the review and that since they will probably be conducting the review away from the specified office during much of the time, early morning would be the best time to contact them there. We also request that you inform employees that they may contact the advisors through their offices by writing to:
FSPA Hqs. Personnel Evaluation Unit
Attention: I.M. Team Leader. To minimize any possible conflicts, emphasize that requests should be received as near the beginning date of the evaluation as possible.

Notification to Employees

Indicate that our survey team will be available to receive any information employees feel would benefit in conducting the evaluation. Also indicate that our advisors will not be in a position to take action on individual grievances or other problems of an individual nature, but any such information will be used in evaluating the personnel program and in determining the need for possible improvements in personnel management.

Notification of Employee Unions and Associations

Arrangements should be made with representatives of all organizations to which you have granted recognition under Executive Order 11491, as amended, to meet with our advisors during the survey. Any information which these representatives consider to be relevant to the survey will be discussed. The survey team will be especially interested in activities under the Labor-Management Relations program and in other matters of significant concern to employees.

Please retain a copy of the letters or statements used to notify employees and employee representatives for the survey team.

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FEDERAL SOLAR POWER ADMINISTRATION

GENERAL SURVEY INFORMATION

(Please respond to those items checked)

Manager's statement of any known personnel management problems at his activity which Commission assistance could aid in solving:

Lag in staffing the new Direct Federal Program is resulting in delays in meeting production timetable. We have recently experienced problems in locating highly qualified physical science technicians.

PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY	
☒	☐	☐	1. Please furnish the following information:

- - current activity mission statement with summary of changes over the past 2 years.
  See Case Study
- - current position listing broken out by organization, official title, series and grade.
  FSPA Response: see organization charts
- - organization charts accompanied by a statement of the activity head's currently delegated personnel management authority. See case study for delegations.
  FSPA Response: organization charts attached
- - organization functional statements.
  FSPA Response: functional statements attached
- - listing of tenants, satellites or field activities serviced.
  FSPA Response: none
- - significant internal personnel management reports, studies or surveys made by your installation during the last two years.
  FSPA Response: none

PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY	
☒	☐	☐	2. Please complete the following:

	End of FY 71	FY 72	FY 73	Last Month
a) Full-time civilian employees				
1) General Schedule	185	175	375	420
2) Wage Grade	0	0	0	0
3) Other	0	0	0	0
b) Part-time or intermittent civilian employees	0	0	2	4
c) Total Civilians	185	175	377	424

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PLEASE FORWARD | AVAILABLE ON ARRIVAL | DISCUSSION MATERIAL ONLY

d) Average GS grade	10.14	10.15	9.33	9.39
e) Supervisory ratio at the activity	1:8	1:8	1:11	1:11
f) number of worker trainee or GS-1 employees at the activity	0	0	1	8

☐ ☒ ☐ 3. If established, please describe any average grade ceiling or controls existing at the activity.

☒ ☐ ☐ 4. Based upon actual figures or best estimates, please provide the following personnel action totals for the year ending: Oct. 1973 (that is, the month before the onsite review)
(month/year

-- career or career-conditional appointment (including conversions to).	115
-- FSEE or MI hires.	5
-- TAPER and temporary appointments outside register.	0
-- all other temporary appointments.	16
-- excepted appointments.	15
a. Summer Aids	8
b. Veterans Readjustment Appointments	5
-- transfers in.	25
-- reinstatements (including conversions to).	5
-- reemployments.	0
-- promotions	40
a. competitive	10
b. career	30

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PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY		
			-- reassignments.	12
			-- demotions.	0
			-- removals or suspensions over 30 days.	2
			-- suspensions less than 30 days.	4
			-- details to higher level positions.	5
			-- number of employees who completed waiting periods for within-grade increases during the past 12 months.	47
			-- RIF actions (separations, furloughs, resignations or retirements in lieu of).	0
			-- mandatory age retirements.	0
			-- number of personnel separated during probation.	0
			-- number of recommendations for quality step increases submitted.	7
			a. approved.	3
			b. pending.	1
			-- number of employees informed in writing or orally by their supervisors that their work was not of an acceptable level of competence.	0
			-- number of employees who received a withholding notification.	0
☒	☐	☐	5. Please describe the nature of any changes in the size or organization of the installation during the past two years.	See Case Study
☐	☐	☒	6. Please provide a description of the activity's program for review and improvement of manpower utilization. Include any local policy statements or studies of utilization, turnover, overtime, sick leave usage, etc.	

PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY	
☐	☐	☒	7. Citing number of participants, please briefly describe any formal training given during the past year to supervisors in position management, classification or job grading.
☐	☐	☒	8. Please provide examples of any significant savings realized over the past two years as a consequence of improved manpower utilization.
☐	☐	☒	9. Citing number of participants, please briefly describe any formal training given to supervisors in the acceptable level of competence principle.
☐	☐	☒	10. Please furnish a list of all contracts under which contractor employees provide services, e.g., maintenance, operation, repair, to your installation on a fairly continuing basis. Contracts which do not require performance of such tasks and are limited to the procurement of material or a commodity should not be listed. Include the following information for each contract listed: -- a brief statement of the types of service perfomed. -- approximate annual cost of the contract. -- total length of time that the contract has been in existence.
☐	☐	☒	11. Please provide a statement indicating the length of time that the Activity Head, Personnel Officer and Equal Employment Opportunity Officer have held their respective positions.

Chart #1

Federal Solar Power Administration
Central City Regional Office

Authorized Strength: 467
Actual Strength: 424

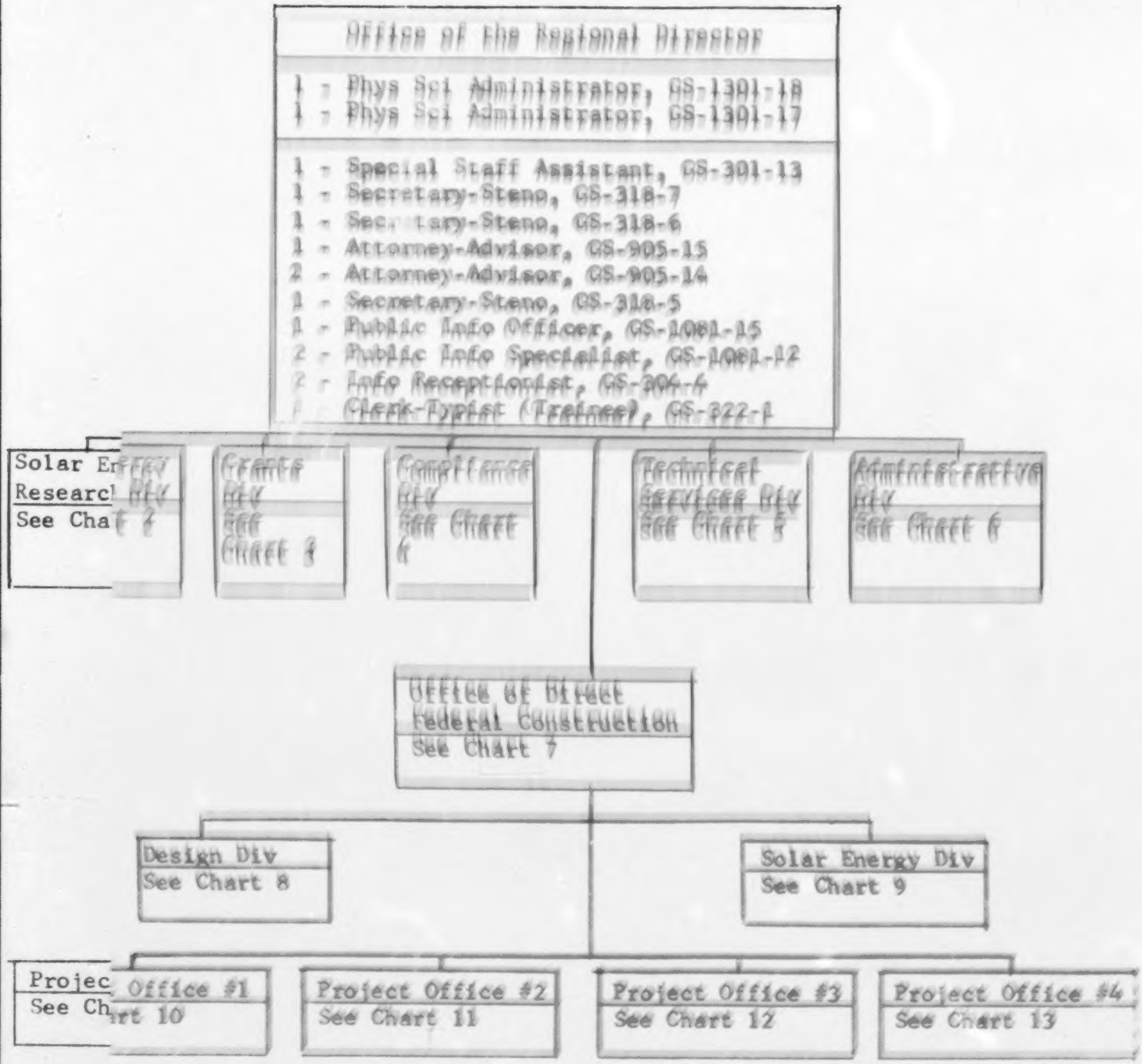
Office of the Regional Director
1 - Phys Sci Administrator, GS-1301-18
1 - Phys Sci Administrator, GS-1301-17
1 - Special Staff Assistant, GS-301-13
1 - Secretary-Steno, GS-318-7
1 - Secretary-Steno, GS-318-6
1 - Attorney-Advisor, GS-905-15
2 - Attorney-Advisor, GS-905-14
1 - Secretary-Steno, GS-318-5
1 - Public Info Officer, GS-1081-15
2 - Public Info Specialist, GS-1081-12
2 - Info Receptionist, GS-304-4
1 - Clerk-Typist (Trainee), GS-322-1
Solar Energy Research Div
See Chart 2
Grants Div
See Chart 3
Compliance Div
See Chart 4
Technical Services Div
See Chart 5
Administrative Div
See Chart 6
Office of Direct Federal Construction
See Chart 7
Design Div
See Chart 8
Solar Energy Div
See Chart 9
Project Office #1
See Chart 10
Project Office #2
See Chart 11
Project Office #3
See Chart 12
Project Office #4
See Chart 13

Chart #2

Solar Energy Research Division

1 - Phys Sci Administrator, GS-1301-16
1 - Secretary-Steno, GS-318-6

Team 1

1 - Supvy Civil Engr, GS-810-15
1 - Physicist, GS-1310-14
2 - Civil Engr., GS-810-14
1 - Safety Engr., GS-803-13
3 - Civil Engr., GS-810-13
1 - Electrical Engr., GS-850-12
2 - Civil Engr., GS-810-12
1 - Architect, GS-808-12
3 - Civil Engr., GS-810-11
2 - Eng. Technician, GS-802-9
3 - Eng. Technician, GS-802-7
1 - Eng. Technician, GS-802-6

Team 2

1 - Supvy Physicist, GS-1310-15
2 - Physicist, GS-1310-14
4 - Physicist, GS-1310-13
1 - Architect, GS-808-13
1 - Civil Engr., GS-810-13
1 - Physicist, GS-1310-12
2 - Physicist, GS-1310-11
1 - Phys Sci Tech, GS-1311-9
2 - Phy Sci Tech, GS-1311-8
1 - Phy Sci Tech, GS-1311-7
1 - Phy Sci Tech, GS-1311-6

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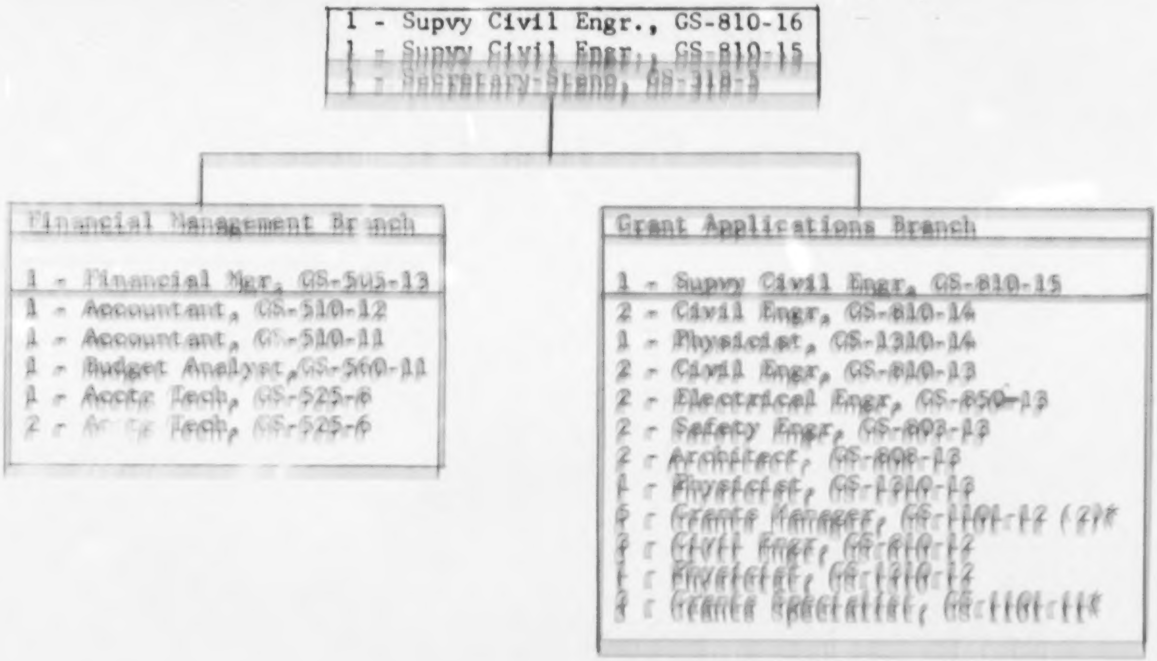
Chart #3

Grants Division



1 - Supvy Civil Engr., GS-810-16
1 - Supvy Civil Engr., GS-810-15
1 - Secretary-Steno, GS-318-5

Financial Management Branch

1 - Financial Mgr, GS-505-13
1 - Accountant, GS-510-12
1 - Accountant, GS-510-11
1 - Budget Analyst, GS-560-11
1 - Acctg Tech, GS-525-6
2 - Acctg Tech, GS-525-6

Grant Applications Branch

1 - Supvy Civil Engr, GS-810-15
2 - Civil Engr, GS-810-14
1 - Physicist, GS-1310-14
2 - Civil Engr, GS-810-13
2 - Electrical Engr, GS-850-13
2 - Safety Engr, GS-803-13
2 - Architect, GS-808-13
1 - Physicist, GS-1310-13
6 - Grants Manager, GS-1101-12 (2)*
3 - Civil Engr, GS-810-12
1 - Physicist, GS-1310-12
3 - Grants Specialist, GS-1101-11*

*Vacant Position
Note: If more than one vacancy, number is in parenthesis.

Chart #4

Compliance Division

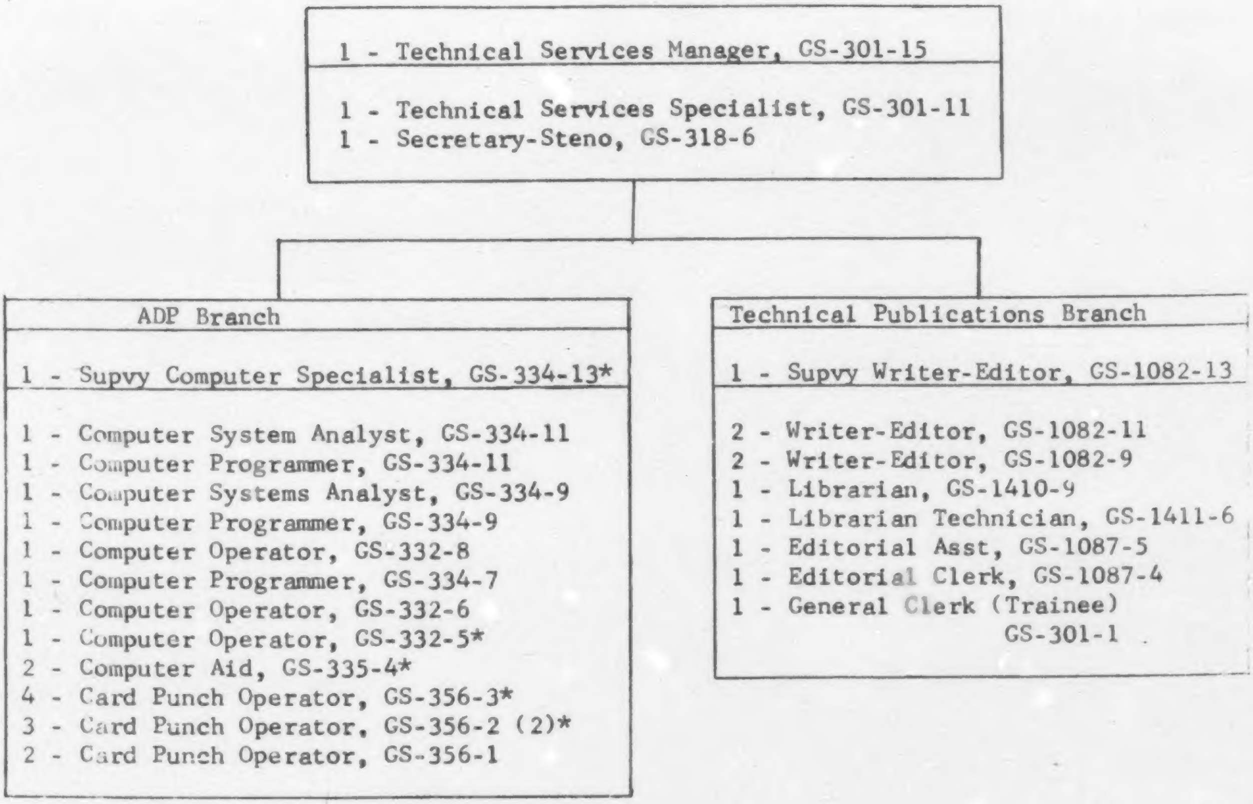
1 - Supvy Civil Engineer, GS-810-16
1 - Supvy Civil Engineer, GS-810-15

1 - Secretary-Steno, GS-318-6
1 - Civil Engr, GS-810-15
1 - Physicist, GS-1310-15
1 - Architect, GS-808-14
1 - Electrical Engr, GS-850-14
1 - Safety Engr, GS-803-14
1 - Civil Engr, GS-810-14
1 - Physicist, GS-1310-14
10 - Auditor, GS-510-13 (5)*
2 - Civil Engr, GS-810-13
2 - Physicist, GS-1310-13
2 - Electrical Engr, GS-850-13
2 - Safety Engr, GS-803-13
2 - Architect, GS-808-13
5 - Grants Administrator, GS-1101-12 (3)*

*Vacant Position
Note: If more than one vacancy,
number is noted in parenthesis.

Chart #5

Technical Services Division



1 - Technical Services Manager, GS-301-15

1 - Technical Services Specialist, GS-301-11
1 - Secretary-Steno, GS-318-6

ADP Branch

1 - Supvy Computer Specialist, GS-334-13*

1 - Computer System Analyst, GS-334-11
1 - Computer Programmer, GS-334-11
1 - Computer Systems Analyst, GS-334-9
1 - Computer Programmer, GS-334-9
1 - Computer Operator, GS-332-8
1 - Computer Programmer, GS-334-7
1 - Computer Operator, GS-332-6
1 - Computer Operator, GS-332-5*
2 - Computer Aid, GS-335-4*
4 - Card Punch Operator, GS-356-3*
3 - Card Punch Operator, GS-356-2 (2)*
2 - Card Punch Operator, GS-356-1

Technical Publications Branch

1 - Supvy Writer-Editor, GS-1082-13

2 - Writer-Editor, GS-1082-11
2 - Writer-Editor, GS-1082-9
1 - Librarian, GS-1410-9
1 - Librarian Technician, GS-1411-6
1 - Editorial Asst, GS-1087-5
1 - Editorial Clerk, GS-1087-4
1 - General Clerk (Trainee)
GS-301-1

*Vacant Position
Note: If more than one vacancy,
number is in parenthesis.

Chart #6

Administrative Division

1 - Administrative Officer, GS-341-15

1 - Equal Employment Opp. Officer, GS-160-13
1 - Administrative Assistant, GS-341-9
1 - Secretary-Steno, GS-318-6

Personnel Branch

1 - Personnel Officer, GS-201-13

2 - Personnel Mgt. Spec, GS-201-12
1 - Personnel Mgt. Spec, GS-201-11
1 - Personnel Clk, GS-203-6
1 - Secretary-Steno, GS-318-5

Budget Branch

1 - Budget Officer, GS-560-12

1 - Budget Analyst, GS-560-9
1 - Accounting Tech, GS-525-8
1 - Voucher Examiner, GS-540-5

Office Services Branch

1 - Office Services Mgr., GS-342-9

1 - Correspondence Clk, GS-309-3
2 - Mail and File Clk, GS-305-2
1 - Off Mach Opr, GS-350-1
1 - Supvy Clk-Steno, GS-312-6
1 - Supvy Clk-Steno, GS-312-5
3 - Clk-Steno, GS-312-4
3 - Clk-Typist, GS-322-4
1 - Clk-Steno, GS-312-3
1 - Clk-Typist, GS-322-3

Chart #1

Office of Direct Federal Construction

1 - Supvy. Civil Engineer, GS-810-15
1 - Supvy. Civil Engineer, GS-810-14

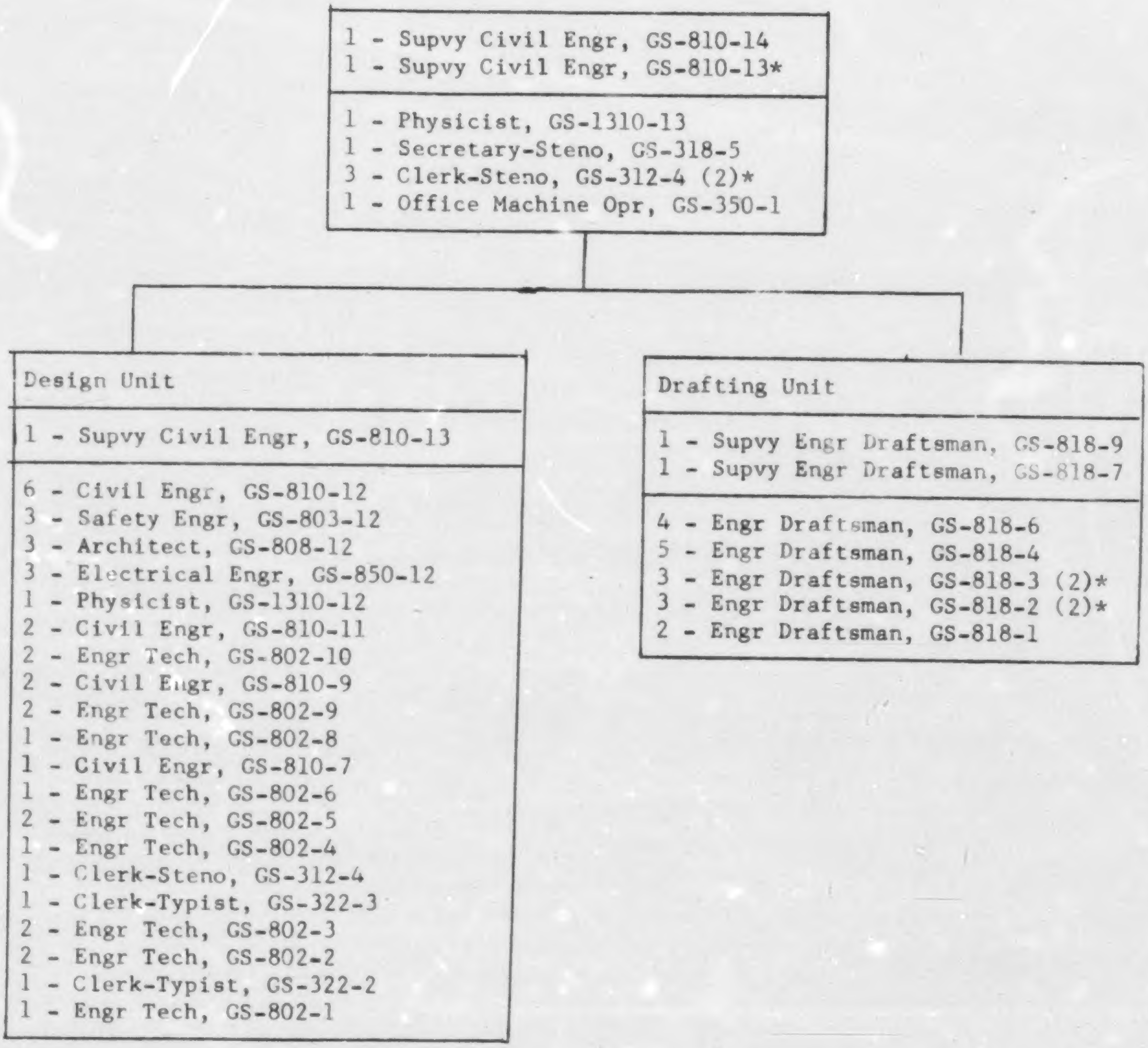
1 - Physicist, GS-1310-13
1 - Admin Officer, GS-341-11
1 - Secretary-Steno, GS-318-6
1 - Secretary-Steno, GS-318-5
1 - Voucher Examiner, GS-540-4
1 - Clerk-Steno, GS-312-4*
1 - Clerk-Typist, GS-322-3*
1 - Clerk-Typist, GS-322-2
2 - Clerk-Typist (Trainee), GS-322-1*

*Vacant Position

Note: If there is more than one vacancy, number is in parenthesis.

Chart #8

Design Division



1 - Supvy Civil Engr, GS-810-14
1 - Supvy Civil Engr, GS-810-13*

1 - Physicist, GS-1310-13
1 - Secretary-Steno, GS-318-5
3 - Clerk-Steno, GS-312-4 (2)*
1 - Office Machine Opr, GS-350-1

Design Unit

1 - Supvy Civil Engr, GS-810-13

6 - Civil Engr, GS-810-12
3 - Safety Engr, GS-803-12
3 - Architect, GS-808-12
3 - Electrical Engr, GS-850-12
1 - Physicist, GS-1310-12
2 - Civil Engr, GS-810-11
2 - Engr Tech, GS-802-10
2 - Civil Engr, GS-810-9
2 - Engr Tech, GS-802-9
1 - Engr Tech, GS-802-8
1 - Civil Engr, GS-810-7
1 - Engr Tech, GS-802-6
2 - Engr Tech, GS-802-5
1 - Engr Tech, GS-802-4
1 - Clerk-Steno, GS-312-4
1 - Clerk-Typist, GS-322-3
2 - Engr Tech, GS-802-3
2 - Engr Tech, GS-802-2
1 - Clerk-Typist, GS-322-2
1 - Engr Tech, GS-802-1

Drafting Unit

1 - Supvy Engr Draftsman, GS-818-9
1 - Supvy Engr Draftsman, GS-818-7

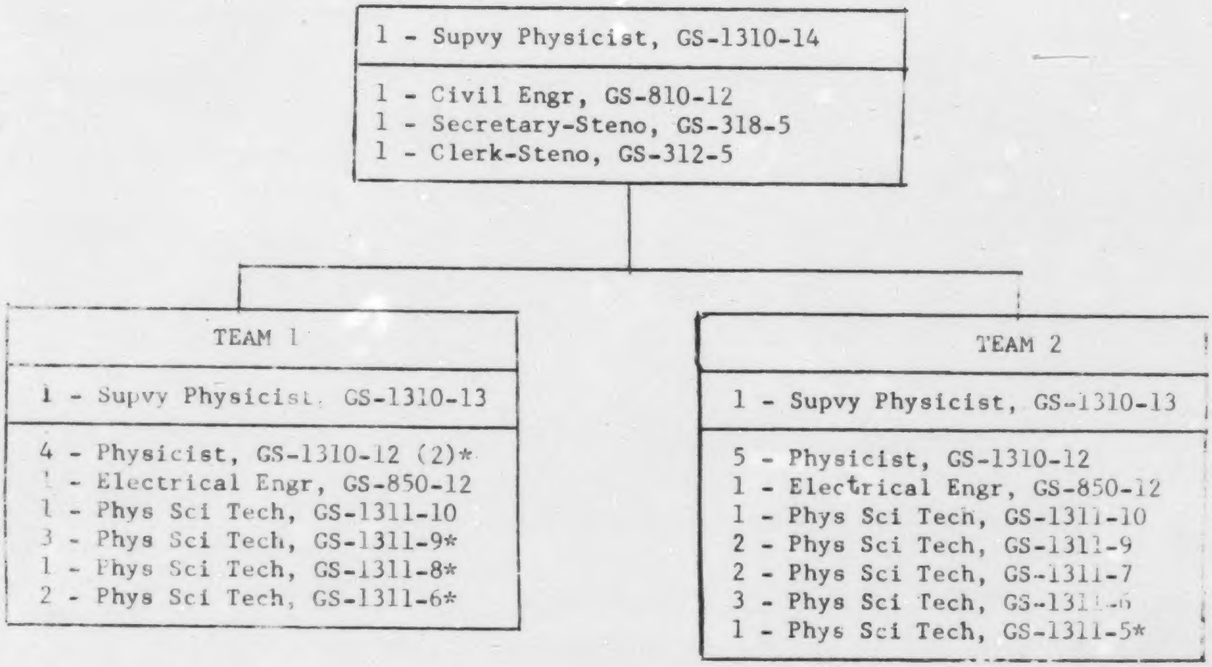
4 - Engr Draftsman, GS-818-6
5 - Engr Draftsman, GS-818-4
3 - Engr Draftsman, GS-818-3 (2)*
3 - Engr Draftsman, GS-818-2 (2)*
2 - Engr Draftsman, GS-818-1

*Vacant Position

NOTE: If there is more than one vacancy, number is in parenthesis.

Chart #9

Solar Energy Division



1 - Supvy Physicist, GS-1310-14

1 - Civil Engr, GS-810-12
1 - Secretary-Steno, GS-318-5
1 - Clerk-Steno, GS-312-5

TEAM 1

1 - Supvy Physicist, GS-1310-13

4 - Physicist, GS-1310-12 (2)*
1 - Electrical Engr, GS-850-12
1 - Phys Sci Tech, GS-1311-10
3 - Phys Sci Tech, GS-1311-9*
1 - Phys Sci Tech, GS-1311-8*
2 - Phys Sci Tech, GS-1311-6*

TEAM 2

1 - Supvy Physicist, GS-1310-13

5 - Physicist, GS-1310-12
1 - Electrical Engr, GS-850-12
1 - Phys Sci Tech, GS-1311-10
2 - Phys Sci Tech, GS-1311-9
2 - Phys Sci Tech, GS-1311-7
3 - Phys Sci Tech, GS-1311-6
1 - Phys Sci Tech, GS-1311-5*

*Vacant Position

NOTE: If there is more than one vacancy, number is in parenthesis.

Chart #10

Project Office #1

1 - Supvy Civil Engr, GS-810-14

1 - Safety Engr, GS-803-13
1 - Electrical Engr, GS-850-13
3 - Civil Engr, GS-810-12
3 - Safety Engr, GS-803-12
3 - Electrical Engr, GS-850-12
2 - Architect, GS-808-12
1 - Physicist, GS-1310-12
2 - Civil Engr, GS-810-11
1 - Electrical Engr, GS-850-11
1 - Engr Tech, GS-802-10
1 - Civil Engr, GS-810-9
1 - Electrical Engr, GS-850-9
1 - Engr Tech, GS-802-9
1 - Phys Sci Tech, GS-1311-9*
1 - Admin Assistant, GS-341-9
2 - Engr Tech, GS-802-8
2 - Civil Engr, GS-810-7
1 - Electrical Engr, GS-850-7
1 - Engr Tech, GS-802-7
1 - Phys Sci Tech, GS-1311-7
5 - Engr Tech, GS-802-6 (2)*
1 - Supvy Clerk-Steno, GS-312-5
2 - Engr Tech, GS-802-5
3 - Clerk-Steno, GS-312-4*
1 - Clerk-Steno, GS-312-3

*Vacant Position

NOTE: If more than one vacancy, number is in parenthesis.

Chart #11

Project Office #2

1 - Supvy Civil Engr, GS-810-14

1 - Safety Engr, GS-803-13
1 - Electrical Engr, GS-850-13
4 - Civil Engr, GS-810-12
1 - Safety Engr, GS-803-12
2 - Electrical Engr, GS-850-12
2 - Architect, GS-808-12
1 - Physicist, GS-1310-12
2 - Civil Engr, GS-810-11
1 - Electrical Engr, GS-850-11
1 - Engr Tech, GS-802-10
1 - Civil Engr, GS-810-9
1 - Electrical Engr, GS-850-9
1 - Engr Technician, GS-802-9
1 - Phys Sci Technician, GS-1311-9*
1 - Admin Assistant, GS-341-9
2 - Engr Technician, GS-802-8
1 - Civil Engr, GS-810-7
1 - Electrical Engr, GS-850-7
2 - Engr Technician, GS-802-7
1 - Phys Sci Technician, GS-1311-7*
5 - Engr Technician, GS-802-6*
2 - Engr Technician, GS-802-5
1 - Supvy Clerk-Steno, GS-312-5
2 - Clerk-Steno, GS-312-4

*Vacant Position

NOTE: If more than one vacancy, number is in parenthesis.

Chart #12

Project Office #3

1 - Supvy Civil Engr, GS-810-14

1 - Safety Engr, GS-803-13
1 - Electrical Engr, GS-850-13
2 - Civil Engr, GS-810-12
1 - Safety Engr, GS-803-12
3 - Electrical Engr, GS-850-12
1 - Architect, GS-808-12
3 - Physicist, GS-1310-12
1 - Civil Engr, GS-810-11
2 - Electrical Engr, GS-850-11
1 - Engr Technician, GS-802-10
1 - Civil Engr, GS-810-9
2 - Electrical Engr, GS-850-9
1 - Phys Sci Technician, GS-1311-9
1 - Admin Assistant, GS-341-9
2 - Phys Sci Technician, GS-1311-8
3 - Phys Sci Technician, GS-1311-7
3 - Phys Sci Technician, GS-1311-6
2 - Engr Technician, GS-802-6
2 - Phys Sci Technician, GS-1311-5
1 - Supvy Clerk-Steno, GS-312-5
2 - Clerk-Steno, GS-312-4

Chart #13

Project Office #4

1 - Supvy Civil Engr, GS-810-14

1 - Safety Engr, GS-803-13
1 - Electrical Engr, GS-850-13
5 - Civil Engr, GS-810-12
3 - Safety Engr, GS-803-12
2 - Electrical Engr, GS-850-12
2 - Architect, GS-808-12
3 - Physicist, GS-1310-12
3 - Civil Engr, GS-810-11
1 - Engr Technician, GS-802-10
3 - Engr Technician, GS-802-9
1 - Phys Sci Technician, GS-1311-9*
1 - Admin Assistant, GS-341-9
2 - Engr Technician, GS-802-8
4 - Engr Technician, GS-802-7
2 - Phys Sci Technician, GS-1311-7 (2)*
5 - Engr Technician, GS-802-6
2 - Engr Technician, GS-802-5
1 - Supvy Clerk-Steno, GS-312-5
6 - Clerk-Steno, GS-312-4
1 - Clerk-Steno, GS-312-3

*Vacant Position

NOTE: If more than one vacancy, number is in parenthesis.

FSPA
MISSION STATEMENTS

Office of the Regional Director

Administers FSPA Federal aid and direct Federal construction program for the Central City region, consisting of five states. This includes providing grant funds to States and localities for the construction of solar power stations, and the building of solar energy power stations on Federal land.

Solar Energy Research Division

Conducts research on systems for the direct generation of electric power through the application of solar energy.

Grants Division

Operates a regional program of grants to States and localities to construct and maintain power stations which directly convert solar radiation into electricity. This covers preapplication consultation, grant application processing, and grant approval.

Compliance Division

Evaluates the overall performance and results of grants-in-aid operations by monitoring day-to-day activities during the post-award phase, including technical operations and monetary accountability.

Technical Services Division

Develops and operates information systems for the support and improvement of management decision-making related to the construction and maintenance of solar power stations.

ADP Branch

Manages an automatic data processing complex which collects, processes, analyzes, and disseminates technical and financial data.

Technical Publications Branch

Develops and maintains a collection of professional and technical materials in solar energy, thermoelectricity, thermoelectric power generators, and related fields.

Administrative Division

Provides personnel, budget, and administrative services within the region. Advises the Regional Director on administrative management as it impacts on mission-related operations.

Personnel Branch

Provides management advisory services to the Regional Director and his staff on problems involving personnel management and those problems which have personnel management implications. Administers the Region's personnel program, including manpower planning, staffing, classification and wage administration, employee relations and services, training, career development, and labor-management relations.

Budget Branch
Prepares the annual and supplemental estimates of appropriations and the justification for the estimates, together with supporting statements and statistics.

Office Services Branch
Provides mailing, postage, and distribution services. Maintains stock supplies. Maintains central files. Provides stenographic, typing, and related clerical support to operating divisions.

Office of Direct Federal Construction
Supervises design and construction of solar energy power stations on Federally-owned lands.

Design Division
Provides technical staff support in design work for the four project offices.

Solar Energy Division
Provides technical staff support in solar energy generation and retrieval systems for the four project offices.

Project Offices
Supervises contractors in the design, construction, and maintenance of solar power plants on Federal lands in a given geographic area.

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FEDERAL SOLAR POWER ADMINISTRATION

MERIT PROMOTION SURVEY INFORMATION

PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY	
☒	☐	☐	1. Please provide a copy of your agency's promotion plans and supplementary local policy instruction and employee relations issuances. Describe major revisions which have occurred in the plan during the past year and the role of employee organizations in each revision.
☒	☐	☐	2. Please provide the following statistics based upon merit promotion activity during the past fiscal year. (11/72 TO 11/73)

A. Total number of promotions 40

a) Number of competitive promotions 10

b) Number excepted from competitive provisions 30

c) Number of excepted which were career promotions 22

B. Total number of times that the installation expanded areas of consideration 2

C. Total number of selections founded upon concurrent consideration provisions 0

D. Total number of temporary promotions 2

E. Total number of temporary promotions (120 days or less) processed as exceptions to competitive promotion procedures 1

F. Total number of competitive details to higher level positions 0

G. Number of "Best Qualified Lists" from which no selection was made 3

H. Number of repromotion eligibles 0

☐	☐	☒	3. Please supply each promotion ranking plan used during the past year as well as a copy of each written test used for merit promotion purposes if that test was not prepared by the U. S. Civil Service Commission.
☐	☒	☐	4. Please provide a sample copy of each type of personnel appraisal form used in your Merit Promotion Program. Also include samples of typical vacancy announcements if used under your Program.
☐	☐	☒	5. Please describe training which supervisors at your activity have received in the principles of merit promotion and in personnel appraisal techniques.

PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY	
☐	☐	☒	6. Please explain how operating officials participate in developing qualification requirements and evaluation factors.
☒	☐	☐	7. Please list and give the status of each complaint filed by an employee or a union concerning a merit promotion issue. Set forth any corrective action taken.
☐	☐	☒	8. Please describe the system of self-evaluation used to analyze the effectiveness of your Merit Promotion Program. What adjustments have taken place in Program operations as a consequence of these evaluations?
☐	☐	☒	9. Please describe the objectives, operation and results of the Upward Mobility Program existing at your activity.

HIGHLIGHTS OF THE FSPA CENTRAL REGION MERIT PROMOTION PLAN

AREA OF CONSIDERATION. All eligible employees whether or not within the minimum area of consideration may apply for vacancies and be considered by submitting applications. An announcement will be made, at least annually, reminding employees that they may file voluntary applications for consideration beyond the local area of consideration. Minimum areas for consideration are designated as follows:

(1) GS-5 and below, the geographic or commuting area within the Region;
(2) GS-6 to GS-12, the Central, Southern, and Western Regions;
(3) GS-13 and above, FSPA nationwide.

LOCATING CANDIDATES. Vacancy announcements are distributed to designated display points. Announcements include: position duties, organization and geographic location, area of consideration, qualifications, evaluation methods, procedures for applying, if there is known promotion potential, and EEO statements. They are circulated or posted for at least ten working days after the date of issue. Other sources: Civil Service Commission; advertising; voluntary applications, including supervisory referrals; selecting supervisor referrals (cannot state a candidate preference except in career promotions or other exceptions to the competitive procedures); and State Employment Service Offices.

QUALIFICATION REQUIREMENTS. All employees must meet minimum CSC standards. Selective factors (geographic mobility, language, personal attribute) are recorded and used to determine eligibility on the same basis as used in competitive registers. (1) Minimum qualifications, including selective factors, are shown on announcements. (2) Written tests are used to establish basic eligibility only when required by the CSC for in-service placement. (3) Modification of qualification standards after the promotion process has begun is prohibited unless an inappropriate standard was used or the Commission has issued a revised standard.

EVALUATION PROCEDURES. These specific mandatory criteria to identify the best qualified apply: appraisals, experience, training, awards, outside activities. Seniority or length of specific experience is used only when clearly job-related. An additional evaluation of demonstrated or potential supervisory ability is made for supervisory positions. Training is required for all newly selected supervisors.

RATING AND CERTIFICATION. Positions GS-5 and under are rated by personnel; positions GS-6 and above rated by panels (except those GS-11 and below, optional at the discretion of Regional Director). A certificate identifies three to five best qualified per single vacancy plus two for each additional one. Up to ten is acceptable if meaningful distinctions cannot be made. If the best qualified are not highly qualified, the area of consideration is expanded; if none identified then, the original certificate is used.

SELECTION AND NOTIFICATION. Any best qualified candidate referred can be selected, but only in the most equitable manner on the basis of merit.

RESPONSIBILITIES. Supervisors: serve on panels; explain plan provisions; advise on career development; motivate employees to file; evaluate fairly; assist in setting job requirements. Employees: learn about opportunities; serve on panels; offer ideas to improve plan; self-development. Personnel: technical assistance to management; provide counseling; MPP program management; periodically evaluate plan effectiveness.

FEDERAL SOLAR POWER ADMINISTRATION

PERFORMANCE EVALUATION SURVEY INFORMATION

PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY	
☒	☐	☐	1. Please attach one copy of each of your performance rating plans and one copy of each local issuance or supplement to those plans.
☐	☐	☒	2. Briefly describe any training provided to supervisors in performance evaluation and give number trained.
☐	☐	☒	3. Please describe actions which your activity takes to inform employees about the purpose and operations of performance rating plans.
☐	☒	☐	4. Please provide one copy of each form used to rate employees.
☒	☐	☐	5. Indicate the number of employees rated in each category during the last complete rating period: Outstanding 15 Unsatisfactory 0 Satisfactory 350 Other 0
☒	☐	☐	6. Please indicate how many performance ratings have been appealed either within the activity or to a Board of Review outside the activity within the past two years ________
☐	☒	☐	7. Please provide performance rating appeal files.
☐	☒	☐	8. If your activity has developed performance standards for individual jobs or types of jobs, please provide a listing of such standards.
☐	☐	☐	9. Of employees eligible for probationary evaluations during the past year, how many were retained? 85 separated? 3
☐	☐	☒	10. Please describe briefly how annual performance evaluations are used in other personnel activities such as promotion, training needs assessment, etc.
☐	☐	☒	11. Excluding the annual performance rating, please describe other employee appraisal systems in use at the activity, i.e., promotion, probationary, etc.

HIGHLIGHTS OF THE FSPA PERFORMANCE RATING PLAN

USES OF PERFORMANCE RATINGS IN ADMINISTRATION DETERMINATIONS

Performance. These ratings form the basis for the annual performance ratings and acceptable level of competence determinations, and point up instances where either performance award recommendations or training may be indicated. All ratings must be based on the specific requirements of the position, and those requirements must have been communicated to the employee in advance. Because performance standards and the supervisor's and employee's understanding of them vary, the plan represents general guidelines, rather than firm requirements, unless otherwise indicated.

Performance Awards. If an employee is being considered for an award based on performance of assigned duties, the ratings should reflect that performance standards for the primary job responsibilities have been exceeded to a significant extent during the period covered by the award and that the remaining responsibilities have been accomplished in a completely satisfactory manner.

Annual Performance Rating. An employee is eligible for an Outstanding performance rating when "All aspects of performance not only exceed normal requirements but are outstanding and deserve special commendation." Therefore, ratings must show "far exceeds" standards in all the major performance areas. For a Satisfactory rating, it should be shown that the employee is meeting or exceeding the overall requirements of the position and the majority of the ratings should indicate "meets requirements" or above. For an Unsatisfactory rating, it should be shown that the employee needs improvement in those performance areas that are critical to the position. The criterion is whether performance is so poor that the employee must be taken out of that particular job.

Acceptable Level of Competence Determination. The basic question to be answered before granting the within-grade increase is whether or not the employee's performance warrants higher pay. If he is to be granted the increase, ratings should show "meets requirements" or above in the major performance areas.

Skills, Knowledge, and Abilities. The skills, knowledge, and abilities on which the employee is rated are demonstrated through performance in the present position. The information in this plan is useful mainly to help identify some of the strengths and weaknesses of people being considered for changes in assignment. The ratings are also used as one factor in the merit promotion plan. Their use for this purpose is to assist in establishing the qualifications of candidates who are eligible for consideration.

EEO and Supervisory Ratings. Some supervisors are authorized to make decisions or take actions which directly affect accomplishment of specific goals or items in the FSPA's action plans. In this case the extent to which the supervisor contributes to goal and objective accomplishment should be considered in determining whether he meets or exceeds requirements or needs to improve. Those supervisors not authorized to make decisions or take actions pertaining to employment, promotion, job design, training, and other affirmative action items can contribute to the attainment of goals and objectives only through demonstration of non-discriminatory practices in day-to-day operations. In this instance, consideration of performance is confined to matters within the control of the supervisor, and may not be extended to EEO action plan items outside the supervisor's jurisdiction.

Administrative.

1. Every employee will receive an initial performance rating 90 days after assuming a position and on the anniversary date of the personnel action thereafter.

2. The Personnel Branch will notify supervisors when an acceptable level of competence determination is due.

3. Annual certification of position need and position description accuracy (Whitten review) will also be accomplished by the supervisor when he rates performance.

4. The supervisor must discuss the performance evaluation with the employee and obtain the employee's initials indicating he or she has seen the rating. Supervisors should relate performance to duties in position description by written standards, and any training needs identified. They are also encouraged to provide counseling on individual self-development goals.

5. Supervisors are expected to informally resolve any complaints regarding the above matters if possible. If this cannot be done, inform the employee of your decision, explain the appropriate grievance or appeal channel, and refer the case to the personnel specialist for your unit.

FEDERAL SOLAR POWER ADMINISTRATION

EQUAL EMPLOYMENT OPPORTUNITY SURVEY INFORMATION

(Please respond to those items checked)

PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY	
☒	☐	☐	1. Name, position, and location of the local Equal Employment Opportunity Officer and EEO counselors. Please describe his or her assigned responsibilities
☒	☐	☐	2. Please attach a copy of your written affirmative action plan for implementing a positive equal employment opportunity program, along with any written progress evaluations made during the past two years. Include a description of the system established at your activity for periodically assessing the effectiveness of the EEO program.
☐	☐	☒	3. Please list any recruiting contacts with minority group and women's organizations and with high schools, junior colleges, colleges, trade schools and business schools which have significant minority group or female enrollment.
☐	☐	☒	4. List known organizations within the commuting area concerned with the employment of minority group persons or women and extent of contact with these organizations, other than as requested in item 3. Describe the minority group characteristics of the locale.
☒	☐	☐	5. Please attach a list of training activities at your installation in which employees have participated and the extent of the participation of minority group members and women in each program. These may include, but are not limited to, supervisory training, skills training, inter-agency training and on-the-job training. FSPA Response: see attached EEO Report
☐	☐	☒	6. Please describe briefly any analysis that has been made to assure that minority group members and women receive equal consideration for training and advancement. Also include documentation outlining employee participation in any positive Upward Mobility Program existing at your activity.
☐	☐	☒	7. Please attach a list of training programs directed at management and supervisory development and give the extent to which equal employment opportunity was included as part of the course coverage. Describe rating procedures used to evaluate the performance of supervisors in equal employment opportunity efforts.

PLEASE FORWARD	AVAILABLE ON ARRIVAL	DISCUSSION MATERIAL ONLY	
☐	☒	☐	8. Please describe the extent to which you have made use of participants in the various economic opportunity programs under such legislation as the Economic Opportunity Act and the Vocational Education Act, e.g., Neighborhood Youth Corps, College Work Study, and Work Experience Programs. Give female and minority totals.
☒	☐	☐	9. Please attach a list of breakthrough placements of minority group members or women in the past two years. If any positions in your organization are restricted to men only, please submit a list of such positions by occupational series with reasons to support each determination. FSPA Response: see attached EEO Report
☒	☐	☐	10. Attach a brief summary of formal complaints submitted by individuals, and complaints of a general nature by organizations, alleging discrimination because of race, sex, creed, color, or national origin. Data should include: name of complainant, title and grade, date complaint received, brief description of the nature of the complaint, its status, and the nature of closing action, if any. Please attach a listing of disciplinary actions taken against employees who have engaged in discriminatory practices. (None taken.) FSPA Response: no formal complaints submitte
☒	☐	☐	11. Please provide as much of the following data as is available from the most recent statistical report compiled on minority group and female employment: a. A comparison of total employment and employment for each minority group category and for women for each General Schedule grade and for each pay category for employees under other pay plans. b. Breakdown of the above data by general occupational codes c. Breakdown of the above data to indicate employment in supervisory and non-supervisory positions. d. Breakdown of above data by organizations' subdivisions. FSPA Response: see attached EEO Report Also, please include a description of your EEO statistical data system and where problems were identified, action taken or planned to resolve the difficulties.
☐	☒	☐	12. Please attach activity policy statements and memoranda issued to the workforce during the past year to support the tenets of equal employment opportunity for minority group members and women.
☒	☐	☐	13. Show placement activities for total workforce as compared to those for minority group and female employees, on page 3.

NEW HIRES

PERIOD COVERED	TOTAL ALL EMPLOYEES		AMERICAN INDIAN		NEGRO		ORIENTAL		SPANISH SURNAMED		WOMEN	
	CAREER	TEMP.	CAREER	TEMP.	CAREER	TEMP.	CAREER	TEMP.	CAREER	TEMP.	CAREER	TEMP.
11/72 TO 11/73 GENERAL SCHEDULE	115	16	1		11	3	1		5	2	23	10
Wage Grade												
Other												

PROMOTIONS

PERIOD COVERED	TOTAL ALL EMPLOYEES	AMERICAN INDIAN	NEGRO	ORIENTAL	SPANISH SURNAMED	WOMEN
11/72 TO 11/73 GENERAL SCHEDULE	40		2	1	3	13
Wage Grade						
Other						

PROMOTIONS TO SUPERVISORY POSITIONS

PERIOD COVERED	TOTAL ALL EMPLOYEES	AMERICAN INDIAN	NEGRO	ORIENTAL	SPANISH SURNAMED	WOMEN
11/72 TO 11/73 GENERAL SCHEDULE	5			1		1
Wage Grade						
Other						

FSPA Central Region

EQUAL EMPLOYMENT OPPORTUNITY REPORT

November 1973

TOTAL EMPLOYMENT

	Total	Minority	Black	Spanish Surnamed	American Indian	Oriental	Women
Present	424	39(9%)	23	9	2	5	102
FY 73	375	28(7.5%)	16	6	1	5	85
FY 72	175	9(5%)	4	2		3	57
FY 71	185	9(5%)	4	2		3	57

GRADE LEVELS

1-4	61	15	12	1	1	1	53
5-8	104	14	8	5	1		34
9-12	168	5	2	1		2	15
13-14	74	5	1	2		2	
15 up	17						

AV. Gr. Total Workforce	9.39
AV. Gr. Minority Group Employees	6.21
AV. Gr. Women Employees	5.09

OCCUPATIONAL CATEGORIES

Scientists & Engrs.	191	5	2			3	
S&E Techn.	106	15	9	4	2		16
Other	57	6	1	4		1	18
Clerical	70	13	11	1		1	68

SUPERVISORY POSITIONS

Total	Minority	Black	Spanish Surnamed	American Indian	Oriental	Women
41	1				1	7

BREAKTHROUGH PLACEMENTS

2 Civil Engineer, GS-810-7 positions filled by minority group employees.

1 Minority group employee selected for Supervisory Physicist, GS-1310-13.

9 GS-1 positions were established to be filled by worker-trainees; 8 have been filled. Of the 8, 5 are women (2 minority group members) and 3 are men (all minority group members).

In addition, the Central Region has hired 10 career-conditional, part-time employees in GS-2 - 4 technician positions through a cooperative CSC-FSPA testing and work-study program at Central City Community College. Of the ten employees, 4 are women and 1 is a minority group member.

EEO OFFICIALS

Local Equal Employment Opportunity Officer: Fred Jones, Equal Opportunity Officer, GS-160-13. Mr. Jones is responsible for the Central Region Equal Opportunity Contract Compliance review program and the internal EEO program for the Central Region. He reports directly to the Chief, Administrative Division.

EEO Counselors:

Bill Baker, Engineering Technician, GS-802-5, Office of Direct Federal Construction, Design Division.

Art Valdez, Engineering Technician, GS-802-8, Office of Direct Federal Construction, Project Office #1.

Mary Anderson, Accounting Technician, GS-525-8, Budget Branch, Administrative Division.

TRAINING ACTIVITIES

	Total	Minority	Women
SKILLS TRAINING	85	11	14
INTERAGENCY TRAINING	25	3	5
NON-GOVT. TRAINING	10	3	

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HIGHLIGHTS OF THE PSEA EEO ACTION PLAN

ACTION AREA I — Organization and Resources to Administer the EEO Program in a Positive and Effective Manner

Objective — Spell out roles of Region operating officials with responsibility for administering the EEO program; indicate the expected involvement of managers, supervisors, and employees; insure continuing flow of information to all concerned about EEO developments and objectives.

Action Items

1. Update listing of personnel designated under EEO organization plan as new EEO counselors, etc., are appointed. Distribute revised plan to manual holders and employees.
2. Annually revise the EEO Action Plan.
3. Post EEO Action Plan on bulletin board and distribute to employees.
4. Assess the need for EEO training.
5. Create EEO Action Committee.

ACTION AREA II — Recruitment Activities Designed to Reach and Attract Job Candidates from all Sources.

Objective — Monitor regional recruitment activities to insure continuing efforts to reach and provide opportunities for all, including minorities and woman.

Action Items

1. Review accessions, promotions, losses, and training of minorities, female, and lower graded employees (GS-7 and below) and recruitment actions to fill vacant professional and technical positions.
2. Complete review or organization to identify areas where there is a low representation of minorities and women and where increased emphasis in recruiting is warranted.
3. Review qualification requirements of vacant positions to determine if they are realistic in light of actual duties.
4. Identify positions for which knowledge of Spanish is desired. Develop appropriate recruitment plan.

ACTION AREA III — Full Utilization of the Present Skills of Employees and Upward Mobility.

Objective — Identify, plan for, and accomplish current and long range training needs of the organization and of individual employees to insure full utilization and provide for upward mobility opportunities.

Action Items

1. Begin skills utilization study to review personnel records of those in GS-7 and below for education, experience, training, and performance to identify underutilized employees in dead-end jobs.
2. Identify all existing bridge positions from the clerical to the technical level by series, grade, position number.
3. During annual position review, unit supervisors will explore opportunities to restructure positions; also employees will be consulted to identify self-development goals.

- Supersedes all previous Central Region Action Plans

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ACTION AREA IV — Training Advice, Incentives, and Performance Evaluation to Assure Program Understanding and Support by Supervisors and Managers.

Objectives — Continue to assure understanding, support and active involvement of supervisors in carrying out Regional EEO objectives.

Action Items

1. Discuss EEO Action Plan with supervisors in terms of their roles and responsibilities and pending actions required to meet goals.
2. During annual performance evaluation, review with supervisors their performance in terms of EEO responsibilities outlined in their position description.
3. Award Region EEO Achievement Award to provide formal recognition to the employee demonstrating greatest commitment and achievement during the calendar year.

ACTION AREA V — Participation in Community Efforts to Improve Conditions which Affect Employability.

Objective — Continue to support and participate in efforts to improve conditions which affect employability in the Central Region.

Action Items

1. Identify volunteer projects in the regional commuting area and issue memo encouraging employee participation.
2. Publicize and encourage support for Day Care Center to improve attractiveness of employment to working mothers.
3. Update and distribute fair housing information to employees.

ACTION AREA VI — System for Internal Evaluation.

Objective — Provide for timely assessment of the effectiveness of actions taken to support and accomplish EEO goals and obtain essential feedback information from appropriate sources.

Action Items

1. Review and evaluate all EEO activities, utilizing supervisory input and EEO monthly progress reports.
2. Publish and distribute to all employees an EEO flyer to communicate actions taken and progress made.

ACTION AREA VII — Prompt, Fair, and Impartial Processing of Complaints of Discrimination and Equal Employment Opportunity Counseling.

Action Items

1. Appoint and train one new EEO counselor at a lower grade level to insure equal representation.
2. Arrange EEO counselors/employees meetings to establish rapport and make them aware of EEO complaint procedures.
3. Update EEO counselor posters to include an explanation of the counselor's role and responsibilities.
4. Submit monthly reports on EEO precomplaint activity and complaint processing to the Regional Director.
5. Submit list of all EEO counselors showing current occupational titles and training received in EEO. Indicate phone numbers.
6. Assure there are enough EEO counselors and discrimination complaint investigators and that they are properly trained and dispersed.

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FEDERAL SOLAR POWER ADMINISTRATION

INCENTIVE AWARDS SURVEY INFORMATION
(Please respond to those items checked)

PLEASE FORWARD	AVAIL. ON ARRIVAL	
☐	☐	1. Statistics on program activity broken down as follows:

Number of Suggestions	FY 72	FY 73	Current FY to Date 11/73
Submitted	5	15	5
Adopted	0	5	1
Pending	0	0	4
No. of Certificates of Appreciation Awarded		4	1
Total Cash Awarded		250	
Total Tangible Savings		45,000	

Number of Performance Awards

	FY 72			FY 73			CURRENT FY TO DATE		
	SUBMITTED	PENDING	APPROVED	SUBMITTED	PENDING	APPROVED	SUBMITTED	PENDING	APPROVED
Quality Step Increases	1			6	0	3	1	1	0
Special Achievement	5	0	2	15	0	12	2	1	1

PLEASE FORWARD	AVAIL. ON ARRIVAL	
☐	☒	2. Briefly describe your supervisory training covering incentive awards.
☐	☒	3. Please provide copies of issuances on the incentive awards program which were distributed to employees during the last year.

FEDERAL SOLAR POWER ADMINISTRATION

LABOR-MANAGEMENT RELATIONS SURVEY INFORMATION

(Instructions on reverse for items requiring definition)

A. ESTABLISHMENT AND LOCATION FSPA Central Region Central City	B. AGENCY LMR OFFICIAL OR PRINCIPAL CONTACT FSPA Response: Personnel Officer

C. ORGANIZATIONS DEALING WITH MANAGEMENT	D. TYPE OF RECOGNITION AND DATE	E. DATE OF ANY NEGOTIATED AGREEMENT
None		

(Where added space is needed for Items C, D and E, a plain piece of paper may be used for an extension of the listing)

PLEASE FORWARD	AVAILABLE UPON ARRIVAL	DISCUSSION MATERIAL ONLY	F. If applicable to your activity, please respond to those items checked:
☒	☐	☐	1. Please attach one copy of your most recent policy issuances concerning the Labor-Management Relations Program or the rights of employees to participate in labor organizations. FSPA Response: policy attached
☐	☐	☒	2. Briefly describe labor-management relations training provided to top managers, supervisors and personnel staff.
☒	☐	☐	3. Please attach one copy of each current agreement negotiated with a labor organization. FSPA Response: not applicable
☐	☐	☒	4. Please describe the impact which the Labor-Management Relations Program has had on activity personnel management, communication with the workforce and mission accomplishment capability. Cite specific achievements.

PLEASE FORWARD	AVAILABLE UPON ARRIVAL	DISCUSSION MATERIAL ONLY	
☒	☐	☐	5. Please explain any problems (granting recognition, unit determination, conflicts of interest, negotiation impasses, agreement execution, competition between labor organizations, cases under the standards of conduct or code of fair labor practice, etc.) which have arisen since the implementation of Executive Order 11491, as amended. FSPA Response: not applicable
☐	☐	☒	6. Please describe the functions of any employee group established for management purposes, such as councils of junior employees, etc.

INSTRUCTIONS

Item C. Labor Organizations Dealing with Management

Excluding social, fraternal, veterans, or religious groups, list the organizations which speak for employees on general personnel policy matters. Give the name and affiliation of each organization.

Where no labor organization exists indicate "None." Where an organization has not contacted management for a year or more, list it and below it enter "No recent contacts."

Where employees belong to an organization which does not deal at this level, list the organization and where dealings take place, e.g., "Deals with Chicago Regional Office."

Item D. Recognition

Indicate whether exclusive recognition or national consultation might have been granted each organization and the date granted.

Where recognition has been requested, but not yet accorded, show what level was requested and when, e.g., "Exclusive requested 9/6/70."

Where recognition has not yet been requested, use the abbreviation "N.R."

FSPA CENTRAL REGION LABOR-MANAGEMENT RELATIONS

Policy Statement

The FSPA shall maintain a positive forward-looking system of labor-management relations fully supportive of the views expressed in EO 11491 as amended. Employees have an obvious and proper interest in the terms of their employment and the conditions under which they work. Whether individually or collectively, we believe employees can contribute substantially to improved personnel policies and practices.

Specifically, FSPA policy emphasizes management's affirmative willingness to deal fairly and equitably with recognized labor organizations to the full extent provided under the Order. Managers and supervisors will maintain strict neutrality regarding employee membership or non-membership in employee organizations. Management shall annually provide information to all employees which will review and update their rights concerning employee organizations. As stated in the Order, management retains the right in accordance with applicable rules and regulations to direct employees, hire, promote, transfer, assign, and retain employees, to suspend, demote, discharge, or take other disciplinary action, to relieve employees from duties because of lack of work, and to determine the methods, means, and personnel by which operations are to be conducted.

STUDENT WORKSHEET

FSPA SURVEY PLAN

I. SURVEY OBJECTIVES

II. APPROACH OR STYLE

III. TEAM MEMBER ASSIGNMENTS

IV. TENTATIVE TIME SCHEDULE

V. SPECIAL TEAM INSTRUCTIONS

SURVEY PLAN FOR ONSITE WORK

The survey plan developed by the team leader should:

-- Set forth survey objectives keyed to the problems which have been identified, with the understanding that evaluation objectives will be modified during the survey if some problems are found to be insignificant or new problems are identified.

-- Indicate approach or style to be used in evaluation.

-- Indicate interview guides to be used; and specify methods for information exchange among team members, and for keeping the team leader informed.

-- Give team member assignments including those for agency participants (when involved), by:

  - Organizational components.

  - Problems (cutting across programs and organizations).

  - Interviews, including community contacts where required.

  - Position audits.

-- Establish tentative time schedule, including:

  - Opening conference--time and date.

  - Goals for completing specified phases of the survey (subject to revision during survey after discussion with team leader). It is useful to have the analysis of all advance information done first so that any leads which are found can be followed up in the organizational review.

  - Goal for completion of all factfinding (subject to revision during survey after discussion with the Chief, Personnel Management and Evaluation Division).

  - Tentative schedule for team meetings during survey.

-- List materials with which all team members should be familiar, e.g., nationwide plan; previous Commission evaluation reports; summary of information gathered in contacts with Commission staff; background information obtained from the establishment on mission, activities, and related statistical and other data and names of key officials.

The plan should be put in writing where there are two or more team members assigned to insure common understanding of all phases of the survey.

SAMPLE SURVEY PLAN

AIR FORCE BASE

PERSONNEL MANAGEMENT EVALUATION

Date:

I. INSTALLATION

Base Commander:

Director, Personnel:
Civilian Personnel Officer:
   Personnel Management Section:
   Classification Section:

Headquarters:

II. TEAM COMPOSITION

Team Leader:

Team Members:

III. TEAM ASSIGNMENTS

A. PROGRAMS

Name A.	o Manpower Management - Manpower Planning - Work Organization and Position Management - Position Classification - RIF
Name B.	o Equal Employment Opportunity o Civilian Career Programs o Employee Development o Performance Appraisal

Name C.	o Merit Promotion o Recruitment and Staffing - VRA - Handicapped o Recognition and Incentives o Occupational Health
Name D.	o Evaluation of Civilian Personnel Management o Management and Supervisory Involvement in Personnel Management o Discipline, Adverse Actions o Communications o Intergovernmental o Labor-Management Relations

B. ORGANIZATIONAL ASSIGNMENTS

Numbers are civilian employees; military supervisors will also be interviewed.

1. Missile Wing - 13 (D)

2. Bombardment Wing - 29 (B)

3. USAF Regional Hospital - 75 (A)

4. Combat Support Group

   Command - 1 (D)

      Opns. & Trng. Div. - 3 (D)
      Admin. Div. - 3 (D)
      Staff Judge Advocate - 4 (C)
      Chaplain - 1 (C)

   Comm. Squadron - 5 (C)

   Comptroller Div. - 25 (C)

   Procurement Div. - 16 (B)

   Special Svcs. Div. - 11 (C)

   Transportation Squadron - 41 (C)

   Civil Engineering Squadron - 140 (A&B)

   Personnel Division - 17 (D)
   Services Div. - 42 (B&A)

5. Tenant Units - 66 (C)

C. RESPONSIBILITIES

To maximum extent, conduct group interviews with nonsupervisory professionals, technicians, clerks, and workers who have a community of interest. Interview supervisors, managers, and technical staff individually. Advise all interviewees of your name, purpose of interview, how selected, confidentiality of information source, and that you are unable to take action on individual matters or grievances.

Each team member will be responsible for:

1. Developing standard questions for team members to use in his own program areas.
2. Developing his own survey schedule and coordinating this with other members.
3. Complete program coverage within assigned organization(s) including obtaining special program information for other team members during all interviews.
4. Meeting as a team to exchange information at designated times and places.
5. Preparing material for team discussion, closing discussion, and final report (including case listing material). Final report format will be determined onsite. Use following format for team discussions.
   - Clearly identify the problem.
   - Give an analysis of the cause and scope of the problem.
   - Show concretely the impact of problems on the agency's work.
   - Recommend actions needed to deal with the problem.
6. Providing a draft of their portion of the report to the team leader by Wednesday of the first week after completion of onsite visit. Prepare onsite if time permits.

IV. TIMETABLE

Sunday	7:30 p.m.	Team Meeting.
Monday	a.m.	General meeting with CPO staff, team meeting, set up interview schedule.

Monday	1:30 p.m.	Opening conference with Base Commander; opening conference with Missile Wing Commander TBA.
Tues. 1 - Fri. 1		Preliminary program coverage with technical staff. Interviews with managers, supervisors, and employees.
Mon. 2		Midpoint discussion of tentative findings.
Mon. 2 - Tues. 2		Complete program coverage.
Wed. 2 - Thurs. 2		Preparation for closeout and report writing.
Fri. 2		Closeout - time TBA.

V. INFORMATION

A. Employment Statistics

	FY 70	FY 71	FY 72
Average Grade	Unk.	5.91	5.83
Supvy Ratio (Civilian to Civilian)	6-1	6-1	7-1

GS - 295
WG - 281
Other - 0
Part-time or Intermittent - 13
TOTAL CIVILIANS - 589 (Reduction from a high of 654 civilian employees in FY 70)

B. Personnel Actions

Career, Career-Cond. Appts. (2 FSEE)	- 60	Promotions (Comp 39, Career 21)	- 60
TAPER & Temp. Appointments outside reg.	- 40	Reassign	- 44
Other Temp. Appts.	- 54	Demotions	- 7
Summer Aids	- 23	Susp. over 30 days (less than 30 - 0)	- 0
VRA	- 5	RIF	- 2
Transf. In	- 8	Details to higher grade	- 12
Reinstate	- 18		

C. Union

Local - Exclusive, 11/20/67. Nonsupervisory WG agreement approved October 1969 (scheduled for renegotiation in September).
- Exclusive, 1/13/71. Nonprofessional, nonsupervisory GS agreement approved 2/11/72.

D. EEO (Information from PAV 5/16/72)

11 minorities, 7 women. Statistics available on appointments, training, upward mobility, etc.

E. Performance Evaluation & Incentives - Inspection Year

Outstanding - 3
Satis. - Remainder, approx. 550
Step increase W/H - 1
Sugg. approved - 8, submitted - 48
Special Achiev. - 9, submitted - 9
QSI's - 14, submitted - 15
Special Act - 0, submitted - 0

An Introductory Workshop in

THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

OPENING CONFERENCE

SAMPLE OPENING CONFERENCE OUTLINE

I. Time and place: ____________

II. List of participants:

III. Team introductions:

IV. President's Memorandum of October 9, 1969, on Personnel Management in the Federal Government.

  A. Upgrading Personnel Management in Government.

  B. Efficient and Economical Use of Manpower in Government.

  C. CSC Leadership in Evaluating Personnel Management in Federal Agencies.

  D. Agency and CSC Evaluation.

V. Stress problem-oriented approach.

  A. Reviews and reports are primarily problem-oriented, centering on problem identification and solution.

  B. Concept: the overall responsibility for personnel management within the organization rests with the top manager.

  C. Solicit information on any areas of personnel management of particular concern to manager or his staff.

VI. Approach.

  A. We will concentrate on problem-oriented reviews in three major centers or levels of personnel management responsibility:

    1. Top management.
    2. Supervisor.
    3. Personnel office.

  B. Reiterate problem-oriented approach, stressing identification of causes and development of solutions and action plans, rather than problem identification alone.

VII. Areas of particular interest: (list)

VIII. Factfinding methods.

  A. Questionnaire analysis.

  B. Interviews.

  C. Program review of policies, records, etc.

    1. Regulatory review.
    2. Classification accuracy review.

IX. Midpoint briefing:

X. Closeout:

XI. We will provide you with draft of report as soon as possible after the closeout to solicit your comments and incorporate agency actions planned to meet problems identified.

XII. Final report incorporating planned agency actions.

  A. Time:

  B. Place:

STUDENT WORKSHEET

OPENING CONFERENCE OUTLINE

I. PURPOSE AND OBJECTIVES

II. POTENTIAL PROBLEMS IDENTIFIED AND AREAS OF CONCERN

A. PRESURVEY

B. OPENING CONFERENCE

III. FACTFINDING METHODS TO BE USED

IV. TENTATIVE REPORTING PROCEDURES

ESPA MANAGER ROLES

Opening Conference

INSTRUCTIONS: Supply information if asked about areas of management concern.

Regional Director

My primary concern is the one we indicated in the advanced information we supplied you, namely that lag in staffing the new direct Federal program is resulting in delays in meeting production timetable. Not sure where the handups are. We are checking our personnel action processing procedures to see if that's a factor, but I suspect the real problem is recruiting time. I would appreciate any feedback you pick up on this.

Deputy Regional Director

No comments.

Administrative Division Chief

I've received some indications there might be a problem in the Grants Division with turnover. I really don't know any more about it than this as yet, and I have no idea if any other divisions are concerned.

Personnel Officer

We are having a real problem getting qualified Physical Science Technicians to come to work for us, particularly with some solar energy background. Also computer operations overtime scheduling is creating some work and morale problems for us.

STUDENT WORKSHEET

OPENING CONFERENCE CRITIQUE

INSTRUCTIONS: Evaluate presentation on the items listed on the left. Place your comments in the appropriate columns. Be specific. Give completed form to the team leader who makes the presentation.

EVALUATION FACTORS	EFFECTIVE	NEEDS IMPROVEMENT
CONTENT		
1. Introductory remarks.		
2. Purpose and objectives.		
3. Potential problems and areas of concern.		
4. Factfinding methods to be used.		
5. Tentative reporting procedures.		
QUALITY OF BRIEFING		
1. Professional and friendly bearing.		
2. Relevant, concise message.		
3. Effective in obtaining input from managers on their concerns.		
4. Quality of discussion aids, if used.		

EVALUATION INTERVIEW

SAMPLE INTERVIEW GUIDE #1

PLANNING AND ORGANIZING WORK

Managers and Supervisors

1. What are your responsibilities for work assignment, setting organization structure, and setting staffing levels in your unit?
2. What tools do you have for measuring manpower requirements and skills mix? How effective are they? Examples: engineered work standards, organization studies, skills inventory information, job restructuring techniques, turnover studies, manpower utilization studies, sick leave usage studies.
3. Nature and effectiveness of staff from the Personnel Office and the Budget Office.

Employees

1. Are you notified of organizational and program changes which affect your work?
2. Is PD accurate? Reviewed annually? Are you aware of appeal rights? What responsibility do you have for making changes known to the supervisor?
3. Have you been detailed within the past year? Do you work any overtime?

MEETING MANPOWER REQUIREMENTS

Managers and Supervisors

1. What is your role in filling vacancies in your unit?
2. What sources do you use in filling your vacancies and your assessment of the quality of these sources? Cite: CSC registers, EEO considerations, community and educational contacts, VRA, handicapped, mentally retarded, details, reassignments, temporary promotions, and promotions. Have you used or considered using details, reassignments, and temporary promotions to develop, train, and retrain your employees?
3. Has there been any impact in filling vacancies due to internal and external limitations? Do you feel the size of your unit is restricting work accomplishment flexibility? Cite: Personnel Office delays, headquarters restrictions, ceiling and budget restrictions, public pressure groups.
4. How do you inform your subordinates about: operation of the merit promotion program; opportunities for reassignments, details, etc.
5. Are your comments solicited on changes to be made in the merit promotion program? Do you solicit comments from your employees?

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Employees

1. Do you understand the merit promotion program? What responsibility do you have to keep informed of the program and impact on you? Do you feel all employees have an equal opportunity for competition? Is your merit promotion rating discussed with you? Are you kept informed of your status on promotion actions?
2. Have you been detailed or reassigned within the last two years?
3. Do you understand how your agency makes reassignments and details? Have you been reassigned or detailed in last year? How do you find out about vacancies? Would you willingly accept detail or reassignment to enhance your personal development?
4. Have you been appointed within the past year? How were you recruited? What kind of orientation did you receive?

MANAGING AND DEVELOPING THE WORKFORCE

Managers and Supervisors

What is your responsibility and role in:
1. Orientation to work and ongoing communications?
2. Setting work and performance standards and reviewing performance (evaluating supervisors in EEO effectiveness)?
3. Identifying and meeting training needs? System for evaluating training effectiveness? Your role?
4. Recognizing performance and EEO achievements?
5. Correcting performance, discipline?
6. Grievance and appeals?
7. EEO goal setting?
8. What is the nature and effectiveness of staff advice and assistance and training?
9. Do you have an active role in dealing with union representatives? Effect of union on mission accomplishment? Management direction and staff assistance provided?

Employees

1. Does your supervisor keep you informed of changes that affect your work? Can you discuss your problems with him?
2. Are performance discussions and career counseling taking place? Have you received needed OJT or formal training? Was it effective? Do you request and get training from higher level staff (employee responsibility)?
3. Do you receive recognition, formal or informal, for your performance and suggestions?
4. Are you familiar with the EEO counselor program? Would you feel free to use it? Do you think minorities and women have an equal opportunity to move into technical and professional positions?
5. Are you familiar with the grievance and appeals system? Do you feel free to use it?
6. Are you aware of your rights regarding labor unions?

SAMPLE INTERVIEW GUIDE #2

Date____________________
Time____________________
Inspector________________

Name____________________________________M____F____MG____

Title______________________________________Series and Grade____________________

Organization____

Manager______ Personnel Staff______ Other Staff______ Supervisor__________
Employee______ Requested______ Union______ Other______

MARK: + Good o Adequate - Needs [illegible]rovement

Program Knowledge	Program Operation	Standard Questions
		1. Manpower Planning How does he determine his needs? What is responsibility for obtaining additional people if required? How does he go about it? Justification?
		2. Position Management - MUST Can you alter position structure? How? How do you determine that best use is made of available manpower? Regular studies? Details? Overtime? Supervisory ratio?
		3. Classification/CFWS Is PD current and accurate? Reviewed annually? Supervisory responsibility for changing work assignments? Are classification standards available to you? Technical advice?
		4. Recruitment Turnover? How filled? Quality of people? Flexibilities used? Who selects? Sources used? Career Patterns?
		5. EEO How are opportunities for minorities, women, handicapped in promotions, training, etc.? Do you understand counselor system? Personal role in agency EEO program?
		6. Training Received any training? What kind? How are needs identified? How met? Any unmet needs?
		7. Promotion Copy of the plan? Do you understand how the promotion plan operates? How do you find out about vacancies? Selections? Is it fair? Is it providing best qualified?

Program Knowledge	Program Operation	Standard Questions
		8. Communications/Supervision How do you find out about policy changes that affect you? Can you discuss problems freely with your supervisor? Bulletin board available? Employee conduct problems? Discipline?
		9. Performance Appraisal How do you find out work requirements? Written standards? Are discussions taking place? When? Are appraisals changed? Is employee informed?
		10. Recognition and Incentives Suggestions: Participation? Delays? Advertised? Performance: QSI's or SSP? Fair? How about acceptable level of competence?
		11. Labor-Management Relations Right to join? Union activity? Supervisor's role?
		12. Safety Information provided? Supervisory responsibility? Safe working conditions?
		13. Personnel Services Any contacts with Personnel? Assessment of service?
		14. Youth Familiar with Pres. memo? Supvy. and mgt. training? Recruiting team's composition and effectiveness? Utilization of interns and trainees? Meaningful work career progression? Special communication efforts? Contacts with academic community?
		15. Grievances and Appeals How effective are procedures used? Does management use grievances and appeals as indicators of problem areas. What difficulties encountered in processing? Employees understanding and acceptance?
		16. Veteran Readjustment Appointments Knowledge of program by supervisors and managers? Authority used? Training agreements lived up to? Any impact on other programs such as EEO, FWP, etc.? Understanding and acceptance by employees and employee organizations?

ROLE PLAYING INSTRUCTIONS

Role Playing. Role playing can be described as real behavior in an imaginary situation. Role playing isn't acting a part or trying to behave as you think someone else would; it involves people being themselves in different situations. It is a good way to bridge the gap between the study of principles and techniques and the use of the same principles and techniques.

How is Role Play Done? When you role play, a situation is described for you. It could cover what has just happened, what is to happen in the immediate future, and the role the players are to take.

Because you don't have to act in any prescribed way, role plays don't have scripts or detailed directions. The role players use the information they have about the situation, their own experience, and their ways of behaving when they play the role. Players make up facts when they need to but not facts that don't fit the situation.

The way that role players behave and feel changes during role plays just as it does in most interpersonal contacts. Most people find role playing fairly easy. They get involved in the situation and draw upon their own backgrounds in deciding what to say and how to behave.

Value of Role Playing. Role playing is used in a number of different situations. Here we will be talking about its values when the role plays are concerned with one-to-one communication. Some of the benefits are listed below.

- Players have a chance to see both sides of the relationship in the role play by hearing group comments on both and in some cases actually playing both roles.

- Role playing and critique tends to give people a better understanding of their own feelings and the feelings of others. These feelings and the ways that they are expressed are discussed by the group.

- Role playing gives people a chance to practice using skills, to experiment with different techniques, be exposed to new and different situations.

- In role playing there is no artificial separation between acting and thinking or talking about acting.

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WORKSHOP INSTRUCTIONS

General Information. You should take notes during the interview so that you can compare the problems you uncover with those identified by the other training participants. Each participant will have a chance to act as an interviewer, interviewee, and designated observer. Interviews should last no more than 10-15 minutes and not less than 5 minutes, followed by a brief discussion of the technique and the information gathered.

Evaluator Instructions. You will act in the capacity of an evaluation survey team member interviewing one or more of the following individuals:

- top and mid-management officials
- first-line supervisors
- engineers and scientists
- grants managers and specialists
- technicians and draftsmen
- computer programmers and operators
- secretarial and clerical workers
- minority group workers and women

Record your findings on the interview worksheets provided.

Individuals interviewed may have information to contribute in any one of these areas:

- staffing
- position and pay management
- employee relations and services
- training and development
- equal employment opportunity
- records and reports

REMINDER. Be sure to develop interviewing plan, including possible questions, based on already available data.

Interviewee Instructions. Be sure to act out roles as assigned. Give the interviewer every opportunity to get at the information you have. Use your own judgment on when to supply information to keep the interview from lagging. Try not to let the interview end without having most of the information out on the table. Make up facts when they are not available, but NOT facts that don't fit the situation.

IMPORTANT. Be sure to take note of any significant question, issue, or problem that should be reviewed in the overall class discussion which is to follow.

Observer Instructions. Critique the interview using the interview critique worksheets. Participate in the team's analysis of the interview, and provide your critique sheet to the evaluator.

STUDENT WORKSHEET

INTERVIEW WORKSHEET

DATE:

POSITION:

ORGANIZATIONAL LOCATION:

MANAGER____________SUPERVISOR____________EMPLOYEE REQUESTED____________

STUDENT WORKSHEET

INTERVIEW WORKSHEET

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MANAGER______________SUPERVISOR______________EMPLOYEE REQUESTED______________

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STUDENT WORKSHEET

INTERVIEW CRITIQUE

INSTRUCTIONS: Evaluate interviewer on the items on the left. Give specific examples of both "effective" and "needs improvement" areas. Be specific. Include suggestions which might help interviewer, where appropriate. Give completed form to team leader who will lead a brief oral critique. (Team leader should give all critique sheets to interviewer at conclusion.)

EVALUATION FACTORS	EFFECTIVE	NEEDS IMPROVEMENT
1. Interview Content-Introduction - state name, purpose, and how selected. - communicate confidentiality. - explain role in relation to individual matters or grievances.		
2. Interview Content-Body (Give examples of good and bad questions) - probe areas of potential problems identified earlier. - questions cover major areas of survey plan. - questions relate to supervisory effectiveness. - interviewer probes for specific examples (ask what, when, who, where questions).		
3. Interview Content-Conclusion - summarizes major points for verification. - properly handles employee questions.		
4. Interview Techniques - style is open, friendly, business-like. - interview is planned and well-organized. - interviewer guides the situation. - avoids expressing opinions. - avoids argumentative attitude.		

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EVALUATION INTERVIEW
ROLE PLAY 1

Supervisory Civil Engineer, GS-810-15
Office of Direct Federal Construction

You have this information to provide the Personnel Management Evaluator:

- Your mission, the direct construction on Federal lands of solar energy-type power plants, is coming along fast and should pass Organization A in 18 to 30 months.

- Your organization's higher graded positions were filled by people from Organization A who are pretty good except for the fact that many still have a research approach to what are now purely production problems.

- Complaints about the quality of Phy Sci Technicians should be seen in the light that it is hard to get any at all, and still harder to keep them. Think some get better offers from other nearby Federal agencies, perhaps because they give out Junior Electrical or Civil Engineer positions.

- Some of your technicians want to be professionals, sure, but you and your colleagues try to get full journeymen with at least Master's degrees, knowledgeable about solar energy.

- Personnel says they can't get anybody (technicians, that is) with solar energy experience or training like we want and need. The only ones around apparently have only experience with conventional fuels (coal, oil, gas, steam).

- Technician training is accomplished primarily through OJT. We do have one standardized general technician training package which we put on last fall. We need to make this more relevant to our needs, but we just haven't had time. Help from Personnel? Haven't asked for any and they haven't volunteered.

- Personnel Office paperwork is much too slow; not helpful on recruiting professionals but it is no problem because "Colleague Referral" has worked out fairly well.

- Must say also hard to get anyone from the Clerical Pool when we want them who can step in and do the job right the first time. Think those Civil Service tests should be tightened up to do a better screening job.

- You support EEO and believe that you have done well in recruiting minorities and women into technician jobs.

- You are unaware of any agency policy concerning unions. You personally don't like the idea and let it be known.

PROVIDE THESE POINTS ONLY IF ASKED:
- Do actual work of setting organization structure, subject to approval of Regional Director. No problems, other than not fully staffed yet.
- Use staff conferences to determine overall skills mix and qualifications.
- Have not done a skills inventory. How does one go about this?
- Employees are notified of Personnel Office issuances through this office.
- Don't need to solicit MPP comments; they are offered voluntarily. Panel system working well.
- No EEO problem that you know of; everyone gets along fine.

EVALUATION INTERVIEW
ROLE PLAY 2

Supervisory Civil Engineer, GS-810-13
Chief, Design Unit
Design Division
Office of Direct Federal Construction

You have this information to provide the Personnel Management Evaluator:

- Professionals are doing subprofessional work because of the high number of technicians in training status, but it should be temporary and poses no serious problem.

- Very much supportive of the EEO program. For example, four of the ten career-conditional, part-time technician employees are in your unit. The "kids" are working out okay, but the heavy OJT workload is a drain on the time of the other technicians and engineers.

- Also have six women employees (two women technicians - GS-8 and GS-4), two Spanish-American (GS-6 and GS-1), two Blacks (GS-5 and GS-2). The Black GS-5 is an EEO Counselor.

- Whatever EEO results there are in the Design Unit are due to your personal interest and effort, with little direction or assistance from the EEOO.

- To your knowledge, you have not received any credit or a better performance rating due to your EEO activities.

EVALUATION INTERVIEW
ROLE PLAY 3

Engineering Technician, GS-802-10 (Black)
Project Office #1
Office of Direct Federal Construction

You have this information to provide the Personnel Management Evaluator:

- First, try to get the Evaluator to give you a technical ruling (or general reaction) on whether your job should be reclassified to either (1) Engineering Technician, GS-802-11, or (2) Civil Engineer, GS-810-11.

- Tell him your supervisor also feels you should be upgraded to a GS-11 Technician or Engineer and that you understand the classifier says it could be a GS-11 Technician, but is clearly not an Engineering position. (If interviewer asks concerning your appeal rights, you are not aware of any appeal rights and ask interviewer to explain them to you.)

- Don't argue with the Evaluator on this issue, but do try to get a clear response one way or the other.

- Point out you have a B.S. degree in Mathematics from Morgan State.

- Also indicate that you believe nothing is being done to develop you professionally, to get you in the Engineering series via a training agreement, OJT, and/or night classes.

- That nothing positive or forward-looking is being done like this for blacks and other minorities. (Be sure this point is made with Evaluator.) The only gains in EEO you're aware of is through the personal effort of one supervisor in the Design Division and management hasn't recognized him for it to your knowledge.

- Would go half-way if necessary and take a down-grading to get into the Engineering series, but you aren't sure what to do since there is no career counseling service available.

- Though the "freeze" is over, there certainly is a "frost" on and you don't want to work at higher level duties just to keep the lid on the average grade.

- Surprisingly, when not asked to work at higher level duties, you get stuck with duties an experienced clerk could handle. Understand many other technicians are in the same boat.

PROVIDE THESE POINTS ONLY IF ASKED:

- Competitive promotions seem to be fair. Promoted to GS-10 competitively. They use a panel made up of supvy and non supvy employees. You have not served on a panel yet.
- You are not aware of your rights concerning Federal employee labor organizations.
- Performance ratings are done annually on anniversary date. We discuss rating, but there isn't much talk about training needs or anything else.

EVALUATION INTERVIEW
ROLE PLAY 4

Grants Specialist, GS-1101-11
Grants Application Branch
Grants Division

You have this information to provide the Personnel Management Evaluator:

- First, try to get a strict pledge of confidentiality about the information you will provide as you do not wish your name to be used.

- Much turnover in the Grants positions, both your branch and the Compliance Division.

- Turnover is due to friction between Grants people and scientific and engineering types.

- Grants experience is little valued as it is seen primarily as a paper-shuffling function and no "real" knowledge. i.e., scientific and/or engineering subjects, is required.

- Since Grants experience doesn't qualify for advancement to higher managerial positions reserved for scientists and engineers, few people file for vacancies listed in the merit promotion plan.

- Advancement opportunities for Grants people seems to lie outside the agency. A few opportunities exist in HQs, but no one from here has been selected.

- Vacancy announcements give more weight to engineering or scientific experience or education.

- Work relationships are all confused. All the time in the world is taken to review the basic grant request from a technical standpoint, but then the administrative processing is rushed--the part that involves examining for correctness of format, appropriate signatures, funds availability, proposal status, and procedural compliance generally.

- Lots of times grants proposals are turned back because the Branch Chief says we haven't done a good job. If we knew what he wanted and had some time, we would have much fewer rejects.

PROVIDE THESE POINTS ONLY IF ASKED:

- Not detailed at all but would like to be. How do details work?
- Received orientation from co-worker.
- Recruited via grapevine, just lucky.
- No career counseling received.
- Little credit for the kind of work you do.
- No opinion on opportunities available for minorities and women.
- Don't know how a grievance would be received; otherwise might file one on the merit promotion selection criteria.
- Performance evaluation is accomplished, but it is perfunctory.
- Awards go to engineers and physicists
- Do not know rights concerning union membership.

EVALUATION INTERVIEW
ROLE PLAY 5

Civil Engineer, GS-810-13
Team 2
Solar Energy Research Division

You have this information to provide the Personnel Management Evaluator:

- Technicians hired aren't competent so engineers and scientists either redo the job, or do it themselves to get it right the first time.

- Work as Project Team Leader assigned to work up grants proposals, but don't get any recognition as a supervisor; others are in the same bind.

- Requested supervisory training twice but Personnel turned it down even though the Division Chief approved it each time.

- Was sent once to a five-day course in Chicago on "Report Writing" when you didn't want to go. You feel you and your colleagues already have the knowhow to write up research findings but no officially-approved report formats exist.

- Think Grants Division slows things up with unnecessary administrative paper work since grants types don't understand the technical aspects of the work.

- Feel asked to do too much technical review of proposals for the Grants Division (Peer Review Approach) since you want to spend more time on solar energy research.

- Glad to help Personnel Office out by referring experts you know (Colleague Referral). Feel it is a good way of getting experienced people as you don't want to train anybody.

PROVIDE THESE POINTS ONLY IF ASKED:

- Set work assignments when working as Project Team Leader.
- Position description not accurate because of the supervisory duties.
- Wonder if it is a detail when you are assigned to review grants proposals processed by the Grants Division.
- Maybe the EEO program has watered down the qualifications for the technicians.
- Merit promotion okay. Served as panel rater for a GS-13 position in the Compliance Division. Personnel Specialist explained working system. Used experience and training (ACE quality), performance appraisal, awards.
- Not aware of rights concerning unions.

EVALUATION INTERVIEW
ROLE PLAY 6

Supervisory Civil Engineer, GS-810-14
Project Office #3
Office of Direct Federal Construction

You have this information to provide the Personnel Management Evaluator:

- There is a recruiting problem with regard to the technicians. Have worked with Personnel Office to recruit at the nearby community college but without much results. Salaries offered or something doesn't seem to reach them. Kind of resent spending the time on this when you don't see any results to be gained and then, too, you much prefer working on the professional aspects of the work.

- There isn't enough time for anyone to do the necessary training of the technicians. Therefore, we are gearing our recruitment approach to GS-5 and above technicians--the more knowledgeable individuals.

- Have been a supervisor for the past six months. Have not had any supervisory training. Glad of it because you don't feel it is necessary. These people can supervise themselves.

- Don't see EEO as a vital issue since everyone is treated fairly and equitably. Women in technician positions create a problem because the work involves activities at a construction site, outdoor work, travel varying hours. No question in your mind as to their ability to perform the technical aspects.

EVALUATION INTERVIEW
ROLE PLAY 7

Engineering Draftsman, GS-818-4 (Female)
Drafting Unit, Design Division
Office of Direct Federal Construction

You have this information to provide the Personnel Management Evaluator:

- Feel there well may be discrimination against women employees, or at the least, disinterest on the part of management.

- For example, you are denied access to both Phy Sci Technician and Engineering Technician jobs because they involve outdoor work, travel, weekend work, and work around construction sites where there may not be washroom facilities.

- While management officials did not give any direct evidence that they didn't want women, one senior Engineer (while serving in an acting supervisor capacity) did raise the above points with you.

- While you feel you haven't got the chance for a technician job because you are a woman, you don't want yet to file a formal complaint of discrimination. Haven't complained bacause you aren't ready to put up with all the fuss it would entail.

- Point out that there isn't even a Women's Program Coordinator you could talk things over with. If interviewer asks if you have talked to EEO Counselor, respond that you don't know who the counselors are and that they are probably on management's side anyway.

- Have a two-year diploma from nearby Central City Community College in drafting.

- You would like to know what the Evaluator is going to do with the information you have given.

PROVIDE THESE POINTS ONLY IF ASKED:
- Notified of work-related changes.
- Position description is accurate. Never been detailed.
- Don't know rights concerning unions. Our Chief is down on them so I think they might fire you if you joined one. Can Federal employees belong?
- Would like counseling on how to get into technician series.
- Haven't filed for technician jobs because it seems you don't meet the qualifications.
- Recruited. Just dropped by the Central Region Personnel Office since the FSPA building was right at the bus stop.
- No orientation at all.

EVALUATION INTERVIEW
ROLE PLAY 8

Card Punch Operator, GS-356-3
ADP Branch
Technical Services Division

You have this information to provide the Personnel Management Evaluator:

- Must go to the Administrative Assistant (Division Chief's secretary) on all personnel matters before you are permitted to go to the Personnel Office.

- While the Admin Assistant is usually helpful, there are times when you want to say things or find out about things you don't want spread around the Division later.

- Complain of unfair treatment by professionals in your Branch and in the other Divisions: little personal respect shown, called by your first name, treated as if you didn't know anything, even asked to go for the coffee.

- Professionals take long lunch hours and coffee breaks and come and go as they please.

- Overtime not divided up in a fair and consistent manner. Not given any choice about having to work rotating shifts and weekends and given little or no notice about shift changes. Others in the Branch very upset about this overtime issue.

- Also, no training program to help you move on to better computer jobs, ones you know you can do. You don't want to be a Card Punch Operator forever.

PROVIDE THESE POINTS ONLY IF ASKED:

- Classification: You think you should be higher graded, but you have never asked about it. You are unaware of your appeal rights. Your position description is accurate.
- Merit Promotion: You believe promotions are not fair. Supervisors promote their favorites but you don't know any specific examples. You do not know how the promotion system operates.
- Performance Evaluation: You are rated annually. Your supervisor discusses it, and it is fair. Haven't talked about training needs.
- Training: You haven't had any training in the 1½ years you've worked here.
- Found out about government jobs through your trade school.
- Supervisor doesn't inform anybody of changes; no need, no changes.

FSPA SUMMARY OF OTHER INTERVIEW FINDINGS

ORGANIZATION A

4 managers
6 supervisors
9 employees (2 employee requested)

A few GS-11 and above physicists/engineers from several divisions serve on a panel which classifies physicist and engineer positions in the Solar Energy Research Division (SERD). They use the CSC Research Grade Evaluation Guide. The personnel specialist serves as technical advisor. They like the system and have few problems with it. However, they believe some engineers and physicists in other divisions resent the fact that their positions are not classified by panel.

Several professionals in the Grants and Compliance Divisions alleged that favoritism is used in SERD. They believe a high number of promotions are made without announcements due to that classification panel. (One or two confused classification panel with the merit promotion panels.)

Five engineers and physicists and three grants managers in the Grants Division say proposals are delayed because the real final approval authority rests solely with the Division Chief and not the Project Team Leader.

Engineers and physicists, primarily in Solar Energy Research Division, complain that they are sent to general management and writing skills courses unnecessarily.

Complaints from professionals in all divisions that clerical help is hard to get. The girls in the steno pool are capable but they seem overworked and are never available when needed.

Steno pool supervisor states that volume of requests for help has doubled over the past year. Yet she has only been authorized one additional slot.

The Chief of the Grants Division states that quality of work is good, but lately quantity has been slipping. Attributes this to high turnover rate in grants specialists and grants managers. Knows there is some feeling of second-class citizenship on their part but doubts that is reason for turnover. Has discussed with Director of Administration.

The Chief of the Compliance Division has been experiencing heavy turnover recently. Doesn't know what's causing it. Hasn't discussed it with anyone.

Two managers and four supervisors stated they support EEO but they are not aware of any assigned responsibilities. Employees are aware but apathetic, including minorities.

ORGANIZATION B

7 managers
7 supervisors
14 employees (3 employee requested)

Nine professional scientists and engineers, GS-9-12, state that:

Work is routine.

They must spend a significant amount of time in technician-type duties.

They are receiving very few opportunities for professional training.

Most high grades are in the Federal Aid side, and those divisions recruit from outside the Region rather than taking people from the Direct Federal Program.

First-line supervisors complain that the Personnel Office is not moving fast enough to fill their vacancies.

Two civil engineers, GS-12, Project Office #2, claim to be supervising each other.

Seven employees, GS-9 and below, said merit promotion application forms were too complex and too long and that vacancies weren't posted long enough.

Three physical science technicians say they are working on job assignments outside their position descriptions.

Lower-graded employees, mostly in the Project Offices, say supervisors bad-mouth unions even though there is now no recognized union in the Regional Office.

Technicians complain about quality of the "canned" technician training program they all are required to attend. It isn't relevant to job.

Technicians generally complain about unofficially high (and artificial) standards which prevent them from crossing over into the professional series--a degree is the "entrance fee."

STATEMENTS COMMON TO ORGANIZATION A AND ORGANIZATION B

Ten supervisors are unaware of FSPA policy statement on LMR.

Fourteen employees said merit promotion seems fair. Panels are used and that's good. Of course, everything is up to the supervisor. A few employees feel there is "preselection."

Several supervisors (at various organizational levels) say they need training in how to deal with marginal and troubled employees. They say apparently Personnel knows about this but hasn't done anything about it.

Two managers and four supervisors are not aware of any assigned responsibility for EEO. If they are rated on it, they are not aware of it.

An Introductory Workshop in

THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

PROGRAM REVIEW

UNITED STATES CIVIL SERVICE COMMISSION

CSC OPERATIONS LETTER

Washington, D.C. 20415
May 1, 1973

LETTER NO. 273-702

SUBJECT: Revised guidelines for regulatory coverage of Classification and Staffing

The attached guides are for use in evaluations covering classification and staffing. Draft versions of these guides were provided to regions with Operations Memo 273-57. The present guides have been revised based on regional comments and suggestions to the drafts.

Before their final incorporation into the evaluation handbook we will want to thoroughly test the guides and incorporate further suggestions based on actual use. For example, we have not specified the actual numbers of cases to be included in regulatory review samples, pending further study here in the central office of resource and coverage implications of various sampling approaches. In addition, findings of a task force now underway on developing possible improvements in the Commission's use of its enforcement authority may well have an impact on our reviews.

Also attached are advance copies of worksheets designed to assist in the review of major types of personnel actions. Regions should feel free to modify these forms and utilize them as they see fit. Final versions of the forms will be issued after a thorough test of their utility.

Gilbert A. Schulkind

Gilbert A. Schulkind
Director, Bureau of Personnel
Management Evaluation

Attachments

1. Guide for review of position classification
2. Guide for regulatory review of staffing
3. Corrective action
4. Personnel action review worksheets

INQUIRIES: Analysis and Development Division, BPME, Extension 24473

CODE: 273 Personnel Management Evaluation, Surveys and Audits

DISTRIBUTION: CSC OL A, C

LETTER EXPIRES: April 30, 1974

General guides -- Where the primary interest in the survey is to obtain broad coverage of position classification, the following guides to selecting the kinds of positions for review will normally apply:

- o Primary selections should be made from GS and WG positions in principal mission-related occupations. The sample should include sufficient numbers of journeyman or full performance level positions in mainstream occupations to verify classification accuracy or classification problems generally within these key jobs.

- o In addition to journeyman or full performance level positions the sample should include sufficient numbers of higher level supervisory and managerial positions above the mainstream occupations to test the classification soundness of the organizational hierarchy.

- o Samples need not ordinarily include lower level or developmental positions below the journeyman level where no significant problems are identified at the full performance level, or no other indications of problems at lower levels are apparent.

- o Where appropriate, samples should also include new positions, positions where new classification standards have been applied, and positions classified on a projected basis.

- o Samples should include positions where other review techniques (e.g., review of organization charts, questionnaires, interviews, etc.) indicate that significant problems may exist.

Special Instructions --

- o Attorney positions excepted under Schedule A, Section 213.3101 -- when included in the audit sample, a determination must be made not only on the appropriateness of the classification, but also on.

    - Whether the incumbent is in fact a member of the bar

    - Whether the agency has sound administrative reasons for combining professional legal duties requiring admission to the bar with substantial amounts of non-attorney duties (where this is the case with the position audited)

  Findings should be reported to the Bureau of Personnel Management Evaluation in a memorandum transmitting the survey report. Any further action required would be concerned with protecting the merit system and improving manpower utilization and would be initiated by the Bureau.

- o Positions in Grades 16,17 and 18 -- will be reviewed only when requested by the Bureau of Personnel Management Evaluation. Findings (e.g., the position is functioning as described in the official record, or a statement of the difference between the position of record and the actual duties and responsibilities) should be reported to the Bureau Director in a memorandum transmitting the survey report.

- Hearing Examiner Positions -- Unless specifically directed, hearing examiners will not be subject to post-audit. (Hearing examiner positions are classified by the Office of Hearing Examiners, Civil Service Commission,on a pre-audit basis.)
- Personnel Officer Positions -- Need not be audited unless required by a specific survey plan. If a personnel officer position is audited on an optional basis and a grade change is proposed, the case should be referred to the Bureau of Personnel Management Evaluation for prior review, together with a statement giving the reasons for the change. The proposed change should not be discussed at the local level.

Conducting audits -- Where possible, position descriptions should be reviewed in advance of the site audit and initial determination of classification accuracy based on this documentation made. For many types of common occupations, the advisor's knowledge, background information on the organization, and the descriptions' content should provide an adequate basis for grade determination. However, where the description does not contain information necessary to distinguish one grade level from another, this should be noted for later determination of corrective action.

As a general rule, actual on-site audit of a position will be conducted with the incumbent and the immediate supervisor. When it is not possible to interview the incumbent, the audit is conducted with the immediate supervisor. Sufficient time should be spent during the interview to get all significant information. It is important to insure that the employee and supervisor clearly understand that a desk audit is being performed and that any significant error in the description or classification will require correction. The interview should not be hurried and the incumbent should be encouraged to talk fully about the job and the job situation.

Audit selections may be based on findings from general purpose employee or supervisory interviews. In fact, potential position audit selections may be purposely included in the general employee interview sample because of possible classification problems. In instances where general interviews suggest classification problems or reinforce doubts as to accuracy of classification an immediate decision may properly be made to shift the focus of the interview from a general employee interview to a classification audit. It is important however, to clearly inform the incumbent at the point when the interview becomes a classification audit.

Where the advisor determines that the incumbent is not performing the duties described in the position description, a double check should be made to assure that all the facts about the job situation are known. The position should then be discussed fully with the supervisor. If the advisor determines that the job is misclassified this should be made known before the on-site survey is completed.

Review of classification program administration

Findings from position reviews should be related to information about the classification program to identify causes of present or potential problems and develop solutions. Classification program elements which should be reviewed include:

- Establishment and maintenance of an effective classification review program.
- Systematic review of positions which were classified on a projected basis.
- Routine verification of duties before upgrading of encumbered positions.
- Routine recheck of classification of vacant positions before refilling.
- Spot-checks and controls to assure that supervisors are reporting and terminating details and correctly certifying for annual (Whitten)review.
- Preparation of evaluation statements for supervisory positions and positions where the basis for classification is not readily apparent from the description.
- Application of new standards within a reasonable period of time (i.e., within six months unless the Commission has approved a longer period of time.)
- Effecting controls in connection with salary retention cases, including:
    - Determination of employee eligibility for salary retention in demotion actions.
    - Consideration to employees with retained rates in appropriate promotion actions.
    - Control of expiration dates of retained rates
- Prompt action on classification actions and previous classification reviews.

Determining compliance

Review of the propriety of agencies' position classification actions is a legal responsibility of the Commission. The only real test of compliance with legal and regulatory classification requirements is the accuracy of the classification of individual positions. Therefore, whenever possible, advisors must make firm classification decisions on positions reviewed. Any survey finding which results in the conclusion that an agency determination is not correct and is due primarily to improper application of classification standards rather than position management considerations will be treated as a classification violation requiring corrective action. Findings which indicate uneconomical position structuring, although not in violation of classification requirements, will be treated as substantial evidence of problems within the agency's jurisdiction and reported together with recommended corrective action.

Besides basic classification accuracy, the following elements should be considered in determining regulatory compliance:

Determining accuracy of position descriptions -- In general, position descriptions do not meet regulatory requirements when:

- The description omits one or more of the major duties, or
- The description includes one or more major duties which are not actually performed; or
- The major duties, supervisory controls or working relationships are not described clearly or specifically enough to permit pay method category, title and grade determination when:
    - considered by one familiar with the occupational field involved, and application of pertinent job evaluation standards and
    - Supplemented by readily available and current information on the organization, functions, programs and procedures involved.
- Information obtained on audit indicates that the description does not reflect the supervisory controls, or working relationships currently affecting the position.

Accuracy of determining coverage under the Classification Act -- General guides for determination of coverage under the Classification Act may be found in FPM chapter 511 S2-3.

Promptness in classifying and reclassifying positions on a timely basis -- Agencies are required to implement new standards within a reasonable period of time. Practical considerations for the advisor in determining what is reasonable might include degree of impact of the classification standards on positions in the organization; number of positions in the organization which are affected; whether the agency has, in actuality, applied the standards, but has delayed effecting administrative action of a title or grade change, etc., because resources have been applied to higher priority matters. Generally, six months is considered a reasonable period, unless the Commission has approved a longer period of time.

Proper control of details -- Agency responsibilities when using details may be found in FPM Chapter 300 S-8.

Salary retention operations -- Criteria for agency salary retention operations may be found in FPM 531 S-5.

Taking corrective action

Where a determination is made that a position or positions have been improperly classified, corrective action is required. Agency position classification practices and systems may also require correction to the extent that they result in actual misclassification of positions, illegal details, improper salary retention determinations, etc. Therefore, it is important that the review of cases be thorough and fully documented.

The Commission's purpose in directing corrective action is not merely to resolve those violations which have been discovered, but to correct the situations which have resulted in violations and to eliminate present and potential causes of violations. It is highly likely that such causes may be linked as well to other problems in position management and work organization which seriously affect the efficiency and economy with which the agency carries out its mission without violating specific classification requirements. Such linkages should be made fully explicit in analyzing and reporting on the total personnel management climate in the agency. However, required corrective action which is within the Commission's jurisdiction should be clearly identified and distinguished from those matters which are within the administrative jurisdiction of the agencies.

Directing further review by the agency -- Corrective action should not be limited only to positions determined to be incorrectly classified during the review. Where survey findings suggest that classification problems are widespread either within a specific occupation, the supervisory heirarchy or the organization as a whole, a thorough review should be directed to determine the full scope of corrective action required.

Implementing classification findings -- The Commission has stated that a classification finding - whether made by the employing agency or the Commission - relates only to the position and not to the incumbent. (FPM Chapter 752, Appendix A)

While classification downgrading is a nondisciplinary corrective action, the effect on the employee can be adverse since he may suffer loss of status and reduction in pay (either immediate, or following a two-year salary-retention period). Because of the problem of an employee suffering a loss for something that is not his fault*, the Commission has instructed the agencies to take action wherever possible to avoid demoting the employee. The kinds of action possible necessarily vary with the number of employees involved as indicated below.

Classification decisions affecting a single employee -- Even though a position is found to warrant classification at a lower grade, the agency may be able to avoid downgrading by assigning additional duties and responsibilities and training the employee to prepare him for such additional duties and responsibilities. If the agency cannot avoid downgrading the position, it still must make a positive effort to avoid demoting the employee by assigning him to another position with no loss in pay or minimum loss, or it must:

- Consider the employee for reassignment to vacancies for which it is recruiting and for which the employee is qualified (when the qualifications requirements appropriate in reduction force are applied).
- Consider the employee for vacancies for which it is recruiting in intervening grades where there are no appropriate vacancies at his present grade and classification downward more than one grade is involved.
- Consider the employee for vacancies in the same competitive area as that used in reduction in force.

When an employee's position is downgraded as a result of a gradual erosion of duties, the downgrading must be treated as a reduction-in-force action (FPM Chapter 351 S. 2-6) which will automatically give the employee reassignment rights commensurate with his retention standing.

When an employee's position is to be downgraded because of the issuance of new standards, or the correction of classification error, and efforts to build up the job or reassign the employee have been unsuccessful, there may be no recourse but to demote the employee. Permitting the improper classification to remain without correction would be unfair to all other employees who are performing the same work at a lower grade. The demotion action must then be processed under Part 752 of the regulations (FPM Chapter 752 S. 2-1); whether the classification determination was made by the employing agency or the Commission is not material.

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* An improper classification typically has its origin in some change or action for which the employee is not responsible. In some instances, however, where the position has been gradually modified because of the employee's inability to do the work, he may be responsible.

Classification decisions affecting a number of employees -- The actions described above may also be followed when a number of employees are affected; however, it is not always possible to work out solutions for all cases in a short period of time. In such a situation, FPM Chapter 511. S.7 provides that the agency may consult with the appropriate Commission office on a plan to bring positions into compliance with standards within a reasonable period of time -- up to one year -- in order to minimize downgradings for the employees involved. The plan developed by the agency must meet the requirements spelled out in the FPM, and any agency proposals of this nature must be presented and approved before formal classification action is taken.

Classification decisions affecting a very large number of employees -- The above procedures are usually workable when only a few jobs are involved, but they may be of limited use when many jobs are affected. For example, as positions are converted to new standards, there may be instances where large numbers of positions will have to be downgraded. In some of these situations, the number of jobs being downgraded may far outnumber those potentially available for reassignment, and individual jobs cannot be built up as the workload does not justify the number of high level jobs now in existence. In addition, the agency may have priced itself out of a competitive position vis-a-vis agencies performing similar work, and may not wish to postpone correction by the procedures outlined in FPM Chapter 511 S.7, even if it were possible. To continue the status quo could bring further decline in work load and necessitate reductions in force. Downgrading of positions and demotion of employees may thus be unavoidable. Since, in the example cited, the downgradings result from the application of new standards, demotions must be processed under Part 752. In order to insure as much equity as possible, determinations as to which individuals will be demoted should follow reduction-in-force principles.

Consultation with the Commission on classification actions affecting large blocks of positions -- Agencies are required to consult with the Bureau of Personnel Management Evaluation concerning proposed classification changes (either upward or downward) affecting a significant number of jobs. While a rule-of-thumb guide is 50 or more jobs, consideration should first be given to the possible overall impact of the proposed action both within and outside the agency. In some cases, therefore, the Bureau should be informed when fewer jobs are involved. (FPM Letter 511-6).

Reporting on classification review -- In all surveys where position classification has been a coverage item, any determinations that classification changes are required must be supported with a case listing attachment to the report:

o The case listing should begin with the following standard paragraph: "Whenever classification action is directed on a position in the following list and the agency or establishment has established other identical positions, the agency or establishment is responsible for: (1) determining whether such other positions are, in fact, identical in duties and responsibilities to the subject position; and (2) applying equally the action directed on the position reviewed to all other positions."

- Each individual classification case which requires a change in classification or documentation, or for which any Commission directed action is indicated, should be listed, identifying:

    - Position number and organizational location
    - Name of incumbent (if vacant position, so state)
    - Current agency classification
    - Required change
    - Brief statement indicating the basis for the change

Cases the evaluator finds on review to be adequately documented and classified consistently with CSC position classification standards should not be listed in the report. Such findings, however, should be reported to the Director, Bureau of Personnel Management Evaluation as an attachment to the memorandum transmitting the report in the following two situations:

- Cases specifically designated for review as part of the nationwide plan for coverage in the agency; or
- Cases selected to meet a special occupational coverage requirement

As noted earlier, the terms "suggested action" or "recommended action" should not be used in reporting a finding that an agency decision is incorrect. Actions seeking changes in the position description or any of the associated readily available records which the agency employs as an integral part of its position documentation also will be listed in the report as "required actions." When the evaluation develops sufficient information to question an agency determination but the local situation prevents the advisor from making a firm classification determination, "review and report" may be ordered as a "required action." The direction to review and report on positions actually audited during the survey should be kept to a minimum, since a Commission determination should be made in such cases. However, where review of additional positions will be necessary to determine the full scope of classification problems, the agency should be directed to do so.

Feedback on classification standards -- In reviewing position classification, evaluation offices should be alert to the need to identify and report to BPME findings that indicate that standards need to be clarified, revised, or developed. This information is needed in planning the Commission's standards program and in the conduct of individual standards projects.

Instances such as the following should be reported:

- Ambiguity of standard creates difficulties in arriving at decisions on cases.
- Application of standard results in apparent or claimed inequity.
- Absence of standard or of criteria for certain types of work results in inconsistent classification of similar jobs.
- Obsolescence of standard makes it difficult to apply, or results in appeals from decisions.
- Rigidity of requirements in standard preclude needed staffing flexibility or exclude well qualified candidates.
- A new occupation needs to be identified and defined.

Followup

Whenever the Commission requires corrective action on position classification as a result of an evaluation, followup action will be initiated to insure compliance. Evaluation offices will report in the six months assessment of evaluation impact:

- o Whether the reported compliance action was in fact effected; reasons for any lack of action to correct the situation; and plans for further followup or other Commission action needed to secure full compliance.
- o In those cases where the agency has other positions with identical duties or responsibilities, and in those cases where the agency was directed to review additional questionable positions or blocks of positions, whether (1) the agency has made the review necessary, and (2) appropriate corrective action has been taken on all positions.

Where general and widespread classification problems were found in the initial review, followup should include sufficient additional position audits to verify corrective action and resolution of classification problems.

Review of Staffing

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Background

The CSC reviews agency staffing programs to:

(1) Assure that agencies are conducting internal and external staffing programs in accordance with existing laws and regulations.

(2) Determine the degree of conformity with the principles of merit, including equal employment opportunity.

(3) Evaluate the extent to which the total staffing process, including recruitment, placement, merit promotion, and career development programs are being managed to support the achievement of the organization's overall objectives.

(4) Motivate improvement in the staffing process where needed to more effectively achieve mission and public policy objectives.

The first two objectives listed above must form an integral part of every review of staffing programs. When it is found that staffing programs are not in conformity with regulatory guidance and/or merit principles, the corrective action must be required.

At the same time the regulatory review is being conducted, the advisor should be sensitive to the broader and more subtle issues involved in staffing, such as responsiveness to management needs and mission accomplishment, and look for areas where improvements should be made. Subchapter 2-3 provides guidance in the review of agency staffing programs in terms of relating them to successful mission accomplishments.

Contents of the regulatory review guides

These guides are primarily concerned with the review of agency staffing programs to:

- Assure compliance with existing laws and regulations in conducting recruitment, selection, and placement activities.
- Determine the degree of conformity with merit principles in carrying out staffing programs.

They have been divided into four subsections:

(1) Preparation

(2) Determining compliance

(3) Reporting and follow-up

(4) Corrective action

Preparation

Before attempting to review staffing the advisor should become thoroughly familiar with the policies and regulations which impact on agency staffing programs. At the same time he is reviewing procedural correctness of staffing actions he should be looking for indicators of possible problems in substantive compliance with merit principles and whether or not actions are contributing to organizational effectiveness. To do this the advisor needs to be intimately familiar with and understand the interrelationships between guidance contained in the appropriate FPM chapters and FPM letters and Book II, Subchapter 2-3 of this Handbook.

Advance information on the number of personnel actions taken during the period under review should be obtained from the installation. This data should be used in selecting the sample of actions to be reviewed and in identifying areas of particular concern. The sample of personnel actions to be reviewed should include the following:

- Career or career conditional appointments (including conversions)
- TAPER and temporary appointments outside the register
- All other temporary appointments
- Excepted appointments
- Transfers (accessions)
- Reinstatements
- Reemployment actions
- Details
- Promotions (competitive and non-competitive)
- Reassignments

Guide for Sampling Personnel Actions -- Evaluation offices have full discretion in determining the makeup of the personnel action sample based on advance information and information produced during the review. In determining the number of different types of actions to be reviewed (i.e., promotions, reassignments, temporary appointments, etc.), consideration should be given to the number of actions taken in each category. For example, if an activity shows an unusual number of temporary appointments, this may be an area deserving of particularly careful review. As a minimum, a sufficient number from each category should be included in the sample to insure that there is compliance, or to clearly identify the extent of regulatory problem areas.

Other factors which need to be taken into account in constructing the personnel action sample include:

- The composition of the workforce (i.e. the sample should be designed to provide coverage of the major occupations at the activity.)
- Known problems, employee complaints, etc., at the particular activity.
- Information developed during the review.

It may be necessary to expand or modify the initial sample based on findings during the review. The extent to which this is required must be based on the judgement of the team leader. The decision to expand or modify the sample will normally be based on the need to verify whether or not a clear pattern of compliance, or of violation of regulations, exists. For example, where several violations of a particular type are discovered in the initial sample it may be necessary to expand the number of actions reviewed to establish the existence of a consistent problem. The need to expand the sample will also depend upon the agency's willingness and ability to undertake a complete review of such cases and fully correct its practices.

Determining compliance

Procedural steps for processing personnel actions and maintaining personnel records are contained in FPM supplements 296-31 and 293-31 and substantive considerations in taking personnel actions are found in appropriate portions of the FPM and its supplementary issuances. CSC forms ______________ may be used in reviewing samples of personnel actions to help assure systematic review.

Types of regulatory deficiencies --

- Violation - an action taken contrary to Commission regulations or requirements deriving from a law or Executive order published in the Federal Register (see section on Corrective Action).
- Significant Irregularity - an error which if permitted to remain uncorrected, could adversely affect the Government or its employees (e.g., improper determination of service computation date, veteran preference, probationary period, etc., failure to secure required documents such as health benefit forms, investigative forms, or appointment affidavits).
    - Normally can be corrected on-site by calling agency attention to error.
    - If action or lack of action results in subsequent action detrimental to the employee, the original action should be counted as a violation for reporting purposes.
- Irregularity - the action taken is substantively proper, but not in accord with prescribed method or procedure (e.g., incomplete or incorrect data on SF-50, where correct documentation is available elsewhere in the folder or files; omission of dates and signature on supporting documents for the action).
    - Normally can be corrected on-site by calling agency attention to error.

Evaluating conformity with merit principles and good management practices -- This is a much more difficult and complex area. It requires that the advisor exercise considerable sensitivity and judgement in looking at actions in terms of whether or not the end result of the action, even though it may be procedurally correct, essentially conforms with merit principles and makes good management sense. To do this, the advisor must have a good understanding of the activity, its workforce, its mission, the availability of manpower in the local area and good personnel management practices, as well as a thorough understanding of the spirit and intent of merit system requirements.

Some examples of considerations applicable in carrying out this part of the review include:

- In placement actions, is full consideration given to the availability of manpower, internally and externally, in determining the level at which positions are filled? For example, is the activity filling positions at the journeyman level when it would be reasonable and beneficial to lower the entry level in the interest of providing upward mobility opportunities?

- Are there patterns in appointments where it appears the activity has limited its recruiting activities unnecessarily to one particular source (i.e., retired military, a particular college or university, etc.) or to sources which are not likely to produce minority candidates? (See guidance on review of EEO).

- Are there undue delays in effecting personnel actions, considering the nature of the action?

These are obviously just a few examples of possible problems advisors may find. But they do illustrate that to identify such problems and trends the advisor must go beyond the procedural aspects to evaluate the effect and value of staffing actions.

Reporting and follow-up

Regulatory review findings should be covered in the report, and individual case listings attached to the report when violations are found. Guidelines for directing corrective action are found in the section on corrective action which follows. In all reviews covering regulatory compliance a statement characterizing the degree of compliance should be included in the report summary. When it is found that the taking of personnel actions essentially meets merit requirements, this summary statement will be sufficient and need not be supported with separate narratives for each category of action.

Specifically:

- Report all violations in a case listing attached to the report regardless of whether or not corrective action was taken prior to the close of the survey; if corrective action has been taken the report should so indicate. If corrective action has not already been accomplished, a reasonable date should be established by which the agency must take action (normally no more than three months) and a follow-up date established. The following information should be shown for each case:

  - Name of employee
  - Nature and effective date of personnel action
  - Nature of violation and required action

- Include in the report findings on excessive numbers of irregularities or errors for which follow-up action is required (staff training, closer review, etc.,); describe in summary or detail depending on extent and nature of irregularities, evidence of agency understanding, availability of guidelines, etc. Also, a definite date for follow-up should be established.

- Irregularities or minor procedural errors corrected during the survey may be summarized briefly under the case listing or in the report, if considered necessary.

Followup is required to insure compliance whenever corrective action is directed. Evaluation offices should report in the assessment of evaluation impact:

- Whether individual case and program corrections were in fact accomplished; reasons for any lack of action to correct the situation; and plans for future followup or other action needed to secure compliance, and

- The extent to which the agency has carried out directions to extend the review on an internal basis to correct all violations similar to those discovered in the review and taken action to insure future compliance in all such cases.

Where agencies have been directed to review all actions in specific categories or in specific organizations to insure all violations of the type identified in the Commission review sample are corrected, follow-up should include on-site spot-checks of a second sample of such cases where necessary to insure full compliance.

CORRECTIVE ACTION **BEST COPY AVAILABLE**

General Principles Governing Corrective Action

The following policies generally will be applied by the Commission* in directing corrective action when individual personnel actions are found to be in violation of governing requirements. Cases of suitability, loyalty, employee misrepresentation, or fraud, are not covered as they are subject to correction through the Commission's Investigation program.

Because the Commission's authority to enforce its regulations extends over a number of different areas of personnel management, different means are used to effect corrective action when it is necessary. The type of correction imposed depends upon the kind of irregularity involved.

Timing Corrective action in individual cases found to be in violation of requirements generally will be directed as follows:

(1) If prior to the discovery of a violation, circumstances have operated to correct the action initially in violation, the Commission normally will not require further action.

(2) If the improper action has not been corrected by the time it is discovered, the Commission will require the agency to take appropriate steps to bring it into conformity with requirements. Such correction may be made by various means, up to and including removal of the employee from the position, depending upon the nature of the violation and other pertinent circumstances.

(3) If the violation was not discovered until after the employee left the agency, the Commission will direct action to nullify any prospective benefits to which the employee might appear entitled as a result of the erroneous action. For instance, when a former employee had been accorded status through erroneous appointment and as a result he appears to have acquired reinstatement eligibility, his file will be corrected and he will be so notified. Adoption of the above policy does not necessarily require amendment of other personnel actions contingent upon an action which is found to be erroneous. In the case above, for example, corrective action would not necessarily require adjustment in the ex-employee's retirement status or the retroactive correction of any past actions involving this employee and other employees.

Directing Corrective Action

Where the Commission directs corrective action which will affect an employee adversely, it will instruct the agency to use part 752 procedures for employees covered by part 752.

* Current delegations of authority specify the officials who direct corrective action

If the employee has been separated or furloughed for military service when the separation order is received from the Commission, the agency should take no action except to return the case to the Commission with a statement of the facts. The Commission should be informed when the person is restored to his job.

Whenever the Commission finds that any officer or employee in the executive branch has failed to follow established policies, regulations, or standards for personnel management over which the Commission has jurisdiction, the Commission shall instruct the agency head to take corrective action.

In those cases where analysis of personnel management activities indicates the need for disciplinary action against responsible officials or employees, the regions will send their analyses and recommendations to the Bureau of Personnel Management Evaluation.

The recommendation for disciplinary action should include in addition to the justification for the recommendation:

- The name, and the identification of the position held by the official or employee.
- The length of time the person has been in his present position, and if a supervisor, how long the person has held a supervisory position.

The Bureau, in making its review, will determine if the recommended action should be taken, and if the action should be taken by the Commission or the agency.

Enforcement Procedure

If the appointing officer fails to carry out the Commission's instructions requiring discipline, change to lower grade, or separation of an employee, the Commission certifies the facts to the head of the agency concerned. If the head of the agency fails to carry out the instructions of the Commission within 10 days after receipt of the certification, the Commission certifies the facts to the Comptroller General of the United States, and furnishes a copy of this certification to the head of the agency. When this has been done no payment is made of the salary and wages accruing to the employee.

Invalid Incumbency of Position

Whenever the Commission finds that any person has been appointed, or is holding a position in violation of civil service laws, rules, or regulations, or that any officer or employee in the executive branch has violated any of the laws, rules, or regulations administered by the

Commission, the Commission is authorized to certify the facts to the proper appointing officer with specific instructions about discipline or separation or other corrective action. This is done only after due notice and opportunity for explanation by the officer, or employee, or the agency concerned.

Commission Authority to Vary from Regulations*

The Commission is authorized by rule V to permit variation from the strict letter of the regulations whenever precise compliance with them would impose practical difficulties and unnecessary hardship. Such variation may be granted if it is within the spirit of the regulations and if it adequately meets the objective of the regulation as far as the Government and the competitive service are concerned.

Whenever such variation is granted, the Commission records in its minutes

(1) The difficulty or hardship involved;

(2) What is permitted in lieu of the requirement in the regulation;

(3) What in the variation adequately serves the objective of the regulation and accomplishes its purposes; and the limitation of the variation to the existence of the conditions which gave rise to the need for it. All minutes approved which permit variations are published in the Commission's annual reports.

Similar variations are granted whenever similar conditions exist.

Authority Granted by E.O. 10826 To Correct Administrative Oversight

An agency which has failed, through error or oversight, to make a timely determination or recommend that an employee receive some benefit for which he was eligible by an an Executive order, may request that the benefit be conferred by the Civil Service Commission. If the agency has made the required determination or recommendation, the Commission, under authority of E.O. 10826, may, in order to avoid inequity in individual cases, confer the intended benefit upon the employee or former employee. No action by the Commission under E.O. 10826 may be made effective prior to the actual date on which the Commission grants the benefits.

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*Authority reserved for the Commissioners.

TABLE OF CORRECTIVE ACTIONS IN CASE VIOLATIONS

The following table lists the action usually directed for some of the more common violations. The table is to be used as a guide, and not as the final determinant in all cases. Under ordinary circumstances, first consideration should be to regularize the action, if possible. The appropriate corrective action for individual cases must, however, be decided on the basis of the total situation in which the violation took place, with recognition of the spirit as well as the letter of the requirements.

Part A concerns violations of specific requirements, externally imposed; Part B concerns violations of specific requirements, imposed by the Commission. Each part indicates the normal corrective action taken if the employee is on the rolls and the situation is still in violation of requirements. (See above discussion of General Principles.)

VIOLATION	CORRECTIVE ACTION
A. Specific requirements externally imposed	
1. Improper selection	
a. Rule of 3 not followed	a. Agency must regularize selection within reasonable time by: 1. Appointing available eligibles improperly passed over. 2. Objecting to available eligibles and being sustained by CSC. 3. Removal of appointee from position.*
b. Veteran passed over	b. Same as a.
c. Applicant supply category selection procedures not followed.	c. If records are not clear enough to determine whether a violation occurred, CSC directs program correction.
d. Non-veteran appointed to position restricted to veterans, and veterans available.	d. Same as c.

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*Must follow part 752 procedures if employee is affected. If employee not affected, program correction only.

VIOLATION	CORRECTIVE ACTION
a. Specific requirements externally imposed (continued)	
2. Appointment from certificate not appropriate to the position.	a. If appointee not qualified for position, agency must cancel status acquired as a result of this appointment, and remove appointee from the position.* b. If appointee now quaified, he may stay on as a TAPER if CSC office permits, but status must be cancelled as in a. above, since original use of certificate was improper.* c. If appointee has moved to new position on basis of supposed status granted by improper use of certificate, agency must cancel status and remove appointee from position.* (CSC office may approve original TAPER appointment and noncompetitive movement under part 335.102b of part 335.)
3. Veterans preference determination not made, or made incorrectly.	CSC order correct determination made and directs program correction. (case correction follows the action required for the particular kind of violation that has resulted from the error in preference determination.)
4. Members of family law violated.	Agency must remove appointee.
5. Appointment of non-citizen without legal authority.	CSC calls case to agency's attention and if necessary, advises the Comptroller General. Violation cannot be regularized, since bar to salary payment exists.**

* Must follow part 752 procedures if employee is covered. If employee not affected, program correction only.

** This corrective action is necessary even if the employee was separated before the violation was discovered.

VIOLATION	CORRECTIVE ACTION
Specific requirements externally imposed (Continued)	
6. Service requirements for specified purposes not met.	
a. for promotion under Whitten Amendment.(See also page 21 of these instructions)	a. CSC advises agency and, if necessary certifies to Comptroller General.
b. for status conversion under P.L. 380 and 836, 84th Congress	b. CSC requires cancellation of status and placement of employee in status quo if he remains in same position.
c. completion of training under approved agreements. (see section 300.603 (a)(1) of part 300.)	c. Where violation is found corrective action would follow policies as for other Whitten violations. (See subchapter 6 of FPM Chapter 300.)
7. Prior CSC approval not obtained.	
a. exception to Whitten Amendment (J cases and training agreements).	a. CSC advises agency and, if necessary reports to Comptroller General. Violtion cannot be regularized retroactively so long as bar to salary payment exists but agency may submit for approval as prospective case.**
b. for supergrades and section 5361, title 5 (Classification of position and qualifications of GS-16, 17, and 18 appointees).	b. CSC orders actions voided and reports to Comptroller General. Violation cannot be regularized retroactively, but agency may submit for CSC approval as a prospective case.**
c. for conversions (section 3304(a), title 5, and section 315.602 of part 315 - White House service)	c. CSC requires submission of case for approval; if disapproved, directs cancellation of status and, if necessary removal of employee.
d. for reemployment of persons separated under Sec. 7, E.O. 10450.	d. CSC requires submission of case for approval; if disapproved, directs separation of employee.

This corrective action is necessary even if the employee was separated before the violation is discovered.

VIOLATION	CORRECTIVE ACTION
Specific requirements externally imposed (Continued)	
8. Reemployment after military service despite failure of employee to file within time limits.	CSC orders agency to regularize appointment (by reinstatement or removal if necessary) and to remove any undeserved superseniority. Additional corrective actions may be required to amend other violations that have resulted from the error.*
9. Failure to observe pay statutes.	An obvious or apparent violation is called to the attention of the agency or reported to the Commission for further reference to the Comptroller General.
a. Errors relating to Service Requirements: Periodic and longevity step increases and leave category.	
b. Errors relating to pay fixing: rate increase upon promotion and salary saving upon demotion.	
B. Specific requirements imposed by Civil Service Commission	
1. Incorrect or incomplete documentation and records.	CSC requires correction of records and, if necessary, the installation of procedures by the agency to comply with requirement.*
2. Improper use of reemployment priority list; e.g., selection from it in improper order, failure to use it ahead of other sources.	If records show violation at time of selection, agency must correct error on basis of current availability of applicants on file at time of improper selection.
3. Appointment below age minimum.	CSC requires removal of the appointee from situation in violation unless he will have met the age limit within three months after the violation is discovered.

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* Must follow part 752 procedures if employee is affected. If employee is not affected, program correction only.

VIOLATIONS	CORRECTIVE ACTION
Specific requirements imposed by Civil Service Commission (Continued)	
4. Appointment on non-citizen (See also Item A5).	
a. career or career-conditional appointment to continuing position.	a. CSC requires change to proper type of appointment, if possible. Otherwise non-citizen must be removed.
b. Temporary appointment of a non-citizen without attempting to recruit citizens.	b. CSC requires program correction and change to proper type of appointment or removal of non-citizen.
5. Failure to observe apportionment in the transfer or reinstatement of non-veterans to apportioned positions.	Agency must submit justification to Commission for a waiver for Commission action thereon. If waiver disapproved, agency must remove appointee from situation in violation.*
6. Failure to satisfy college and licensing requirements.	
a. Failure to determine "completion of college."	a. CSC requests agency to make determination and report within specified time limits to Commission if finding is in negative. If so, and if effort to complete requirement is not under way, CSC directs reassignment, or separation if reassignment not possible.*
b. Appointee does not have required licenses or motor vehicle operator's identification card.	b. CSC requires removal of appointee from situation in violation.* (under Motor Vehicle Operator Regulations, 930.112 or part 930, agency may issue identification cards for purposes specified. Where violation is failure to obtain Commission approval for exceptions to Regulations, e.g., Secs. 930.111b, 930.114b, and 930.116b agency is required to submit case to the Commission for consideration of exception.)

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* Must follow part 752 procedures if employee affected. If employee not affected, program correction only.

VIOLATIONS	CORRECTIVE ACTION
Specific requirements imposed by Civil Service Commission (Continued)	
7. Improper promotion actions (See also page 13 ff.)	
a. Promotion made without proper authority	a. CSC approves promotion only if it is clear that the person promoted would have been among the best qualified if an adequate promotion plan had been in effect and applicable when the promotion was made. If promotion is disapproved, employee is returned to position from which improperly promoted, or placed in another position for which qualified.*
b. Promotion action fails to conform to specified conditions of governing plan.	b. Employee must be removed from position and placed in position for which requirements are met, unless violation has been or can be corrected to conform to conditions of plan.**

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* Must follow part 752 procedures if employee affected. If employee not affected, program correction only.

** For example, a plan provides for rating employees in broad categories of qualifications designated as A,B,and C and specifies that employees in group A will be promoted before employees in group B. The violation discovered is that an employee in Group B has been promoted although several employees in group A have not. If at the time of discovery, all of the remaining employees in group A had received promotions, the promotion of the group B employee could be approved. Even when an employee who was unqualified at the time of promotion meets the governing qualification standards at the time the violation is discovered, demotion is ordered unless the action can be made to conform to the provisions of the promotion plan by showing that the employee is currently among the best qualified for the position and that all qualified candidates who initially competed with him have subsequently been promoted.

	VIOLATION	CORRECTIVE ACTION
c.	Promotion plan itself fails to meet the standards and instructions of CSC.	Action directed depends on specific circumstances. Most situations of this kind are rectifiable by program correction.*
d.	Failure to give certain employees proper consideration in a promotion action.	d. Give the employees priority consideration for the next appropriate vacancy (see pages 15 and 16).
8.	Failure to meet experience and training standards for position changes other than promotions	Agency is required to submit the case to the appropriate office of the CSC. If the requirements are not waived and if the employee is not qualified, agency must remove him from the position in violation.**
9.	Failure to meet physical standards.	Agency has authority to determine that applicants or employees meet physical requirements (i.e., that they can do a particular job satisfactorily without hazard to themselves or others), but only Commission can determine them not to be qualified. If agency wishes to determine them not qualified it must nonselect or submit an objection to the eligible.

*Some examples of the kinds of violations possible here are:
- Specified qualification requirements do not meet the competitive requirements.
- Qualification requirements are so highly specialized that they are unrealistic in terms of the duties of the jobs to be performed.
- Methods of evaluation are inappropriate.
- Area of consideration is limited to a very small organizational entity.
- Employees and employee groups were not consulted.
- Documentation of records is inadequate to produce the information required on promotion procedures and actions under the plan.

**Must follow part 752 procedures if employee affected. If employee not affected, program correction only.

VIOLATION	CORRECTIVE ACTION
B. Specific requirements imposed by Civil Service Commission. (Continued)	
10. Failure to meet service requirements--kind and length.	
a. for conversion to career tenure	a. Correct conversion date or if not yet eligible, cancel the conversion action
b. for position change within three months after competitive appointment.	b. CSC requires case correction if discovered during the pertinent three-month period. Also, CSC requires program correction.*
c. for status for reinstatement.	c. CSC requires removal from the situation and cancellation of status appointment.
11. Failure to request prior CSC approval. Examples are-- - Qualifications standards; - Filling positions in the excepted service. - Direct recruiting authorities and extensions. - Advanced in-hiring rates (See section 5333(b) of title 5); - Appointment of persons separated for cause.	Corrective action will be consistent with action which would have been taken if prior CSC approval has been requested.
12. Other improper uses of delegated authorities.	
a. Emergency appointment authority.	a. CSC requires termination of appointments which cannot be regularized and requires program correction.
b. Noncompetitive position change of temporary or excepted employee to competitive position.	b. CSC requires agency to rectify action or to remove employee from position in violation.*

*Must follow part 752 procedures if employee is affected. If employee not affected, program correction only.

VIOLATION	CORRECTIVE ACTION
B. Specific requirements imposed by Civil Service Commission (Continued)	
13. Failure to make positive effort to fill restricted positions with veterans.	If records show violations at time of selection, agency must correct error on basis of current availability of applicants on file at time of improper selection.* If thorough review does not establish specific case violations, program correction is directed.
14. Failure to observe pay and leave regulations:	An obvious or apparent violation is called to the attention of the agency, or reported to the Commission's central office for further reference to the Comptroller General.*
a. to recredit sick leave upon reemployment within three years.	
b. to reduce leave accruals for LWOP.	
c. to apply highest previous rate rule in salary fixing.	
d. to apply additional annual rate in lieu of premium rate.	
e. to have agency regulations for uncommon full-time tours consistent with Civil Service Commission Regulations.	
f. to apply hazard pay.	
g. to apply severance pay.	
h. to grant salary retention.	
i. to cut off salary retention at expiration period.	
15. Failure to complete probationary and performance evaluations.	CSC requires program correction.

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*Must follow part 752 procedures if employee affected. If employee not affected, program correction only.

FEDERAL MERIT PROMOTION PROGRAM
CORRECTIVE ACTION GUIDELINES

Elements of Correction Action

The corrective action directed by the Commission has three basic elements.

- Corrective action affecting the employee who was erroneously promoted.
- Corrective action affecting employees who did not receive proper consideration.
- Corrective action directed at the causes of the violations to prevent their recurrance.

Corrective action, therefore, is concerned not only with the employee whose promotion is under question, but also involves the effect promotion program violations have on other employees, and the causes that lead to the violations.

Reconstruction of Promotion Actions

In directing corrective action in individual violations, it may be necessary to reconstruct the promotion under proper procedures to determine:

- Whether the promoted employee could have been selected under these procedures.
- Whether any employees were denied proper consideration by the violation.

Reconstruction of the action should begin at that point in the processing where the violation has occurred. For example:

- If the violation involves a failure to properly locate qualified employees by posting a vacancy as required by the plan, reconstruction of the action will involve advertising the vacancy, evaluating qualifications as of the time of the original action, and establishing a best-qualified group.
- If the violation involves a failure to rank employees, as required by the plan, who were otherwise properly located and evaluated, reconstruction will be made from the point in the action where ranking should have been made to identify the group for selection.
- If a promotion action is inadequately documented so that a determination can not be made as to whether the action was proper, reconstruction consists of reporting, if necessary, the steps not documented, then determining whether the action should stand.

Procedural or regulatory errors may involve an extensive number of promotion actions over a period of time. A case-by-case reconstruction to determine whether the promoted employee could have been properly selected for the position would constitute an operation of such magnitude that it would seriously disrupt the accomplishment of the organization's mission. The more appropriate corrective action in such situations is program correction with a review directed to determine whether promoted employees currently meet all qualification and regulatory requirements for the position, and directing removal from the position for those employees who do not currently meet regulatory or qualification requirements.

1. Corrective Action Involving the Promoted Employee

Generally, the erroneously promoted employee should be removed from the position unless the promotion action can be corrected to conform essentially to all Commission and agency requirements as of the date the action was taken.

Regulatory Violations - If the employee failed to meet qualification or regulatory requirements both at the time the promotion action was taken and currently, the agency will be required to remove the promoted employee from the position. (However, if, for example, there are no other qualified candidates available that met either the regular qualification standard or the CSC approved modified standard and the retention of the promoted employee in the position would not otherwise be considered inequitable or an injustice to other employees, a request for a waiver of qualifications would be considered appropriate.)

If the employee did not, but now does meet qualification and regulatory (including time after competitive appointment) requirements, judgement will be exercised in ordering corrective action based on such factors as how far the employee was from meeting regulatory or qualification requirements, how much time has elapsed, the extent to which the qualified employees who were improperly disregarded from consideration or improperly passed over for selection can be located and identified, whether they have been subsequently promoted, and whether the promoted employee could have otherwise been selected had he met the qualification or regulatory requirements.

Procedural Violations - When it is obvious a promoted employee could have been properly selected, as in the case of many procedural violations, normally no action will be taken to upset the promotion and remove the employee from the position; program correction by the agency will be ordered.

If it appears that the promoted employee could not have been selected under the reconstructed promotion action, generally he will be ordered removed from the position and priority consideration will be directed for those employees, who were considered among the best qualified. The erroneously promoted employee will be returned to his former position or to another position for which he qualified that is at the same grade level as his former position. If he is to be placed in a position at a higher grade level than his former position, the placement action is subject to the requirements of the appropriate merit promotion plan.

2. Corrective Action Involving Employees Who Failed To Receive Proper Consideration

A significant part of the corrective action taken by the Commission will be the requirement that priority consideration for promotion be given to those employees who failed to receive proper consideration as a result of the violation. Priority consideration should be a conscientious attempt to correct or minimize any injustice resulting from the violation. When nonselected employees have not actually been adversely affected by the violation, they are not entitled to priority consideration.

Determining Who Is Affected.- The original promotion action or the reconstructed action may show the following employees to have been adversely affected:

- Employees who were placed in the best-qualified group but not selected, because of the selection of an unqualified employee. Such employees should be considered as adversely affected and entitled to priority consideration.
- Employees who were not in the best-qualified group in the original promotion action but were in the reconstructed action. These may include:
    - o Employees originally identified as basically eligible but improperly excluded from the best-qualified group. Such employees would be entitled to priority consideration for the next appropriate vacancy although the promotion could be permitted to stand.
    - o Employees who were not considered at the outset but should have been. Such employees would be entitled to priority consideration only if reconstruction of the original promotion action shows that they would have been in the best-qualified group.

Ordering Priority Consideration

If the promoted employee is removed from the position under review, priority consideration applies to this position.

If the promoted employee is not removed, an employee who was not given proper consideration in the original promotion action, and who has not been since promoted, should be given consideration for the next appropriate vacancy before candidates under a new promotion action or other action to fill the position are considered. Selection of the employee may be made as an exception to competitive promotion procedures.

Priority consideration is granted once for each time proper consideration was denied. When priority consideration is directed, the agency must provide as part of the merit promotion process a means for identifying the next appropriate vacancy. This vacancy:

- Has to be one for which the employee is qualified.
- Should be one for which the employee would be a reasonable candidate.
- Should be at the same grade level and have the same area of competition as the position for which consideration was lost.

An employee entitled to priority consideration must be referred ahead of all other candidates not also entitled to the same or a higher order of consideration. In other words, his name must be referred alone, not along with others, unless, of course, other candidates are also entitled to the same or a higher order of consideration.

The term "appropriate vacancy" means the next one at the same grade level for which the priority candidate meets or exceeds qualification requirements including any appropriate selective placement factors, with due regard to the factors of area of consideration and the employee's own job preferences. Priority consideration consists of many steps beginning with identifying an employee entitled to priority consideration, determining that he meets the established criteria for placement, and referring his name to the selecting official who completes the process by giving the candidate bona fide consideration. If, during the consideration process it is determined that the employee does not meet the qualification requirements for the position, then the candidate should not have been referred to the selecting official for this vacancy and the conditions of an "appropriate vacancy" have not been met. In such cases the employee would not have been given priority consideration within the intent of the requirement.

Nor will a priority candidate have been given priority consideration when his name is referred to a vacancy but management decides not to fill the vacancy at that time. In this situation it is considered that there was no bona fide vacancy for which the employee was considered. Consequently, he must be given priority consideration to the next bona fide appropriate vacancy.

A candidate entitled to priority consideration does not have to compete with, nor should he be considered with, any candidates who are not entitled to equal priority consideration. If there is a large number of priority candidates, the employing activity could adopt procedures which would restrict to a manageable number the group actually referred to the selecting official. For example, such procedures could provide for a relative ranking of the candidates entitled to priority consideration and referral of the best qualified first. However, any procedures adopted would have to provide that all qualified and available persons entitled to priority consideration for a vacancy will be considered before any other efforts are made to fill the vacancy.

Based on the circumstances surrounding the erroneous action (for example, where employees have complained of pre-selection,favoritism, etc.), it may be necessary to require that the agency document fully its reasons for passing over the employees in the priority consideration group or that the action on the next appropriate vacancy be reviewed at a higher organizational level within the agency or by a Commission office.

Directing the Corrective Action

The corrective action ordered by the Commission must be explicit and directed toward all aspects of the violation. This would include directing the action to be taken with respect to the erroneously promoted employee, assuring that employees entitled to priority consideration are properly identified, and determining as far as possible the cause of the violation.

Need for Specificity in Case Listing - For each violation or group of violations, the case listing should, whenever possible, cite the law, rule, regulation or procedure and the specific part that governs the violation.

For example, if the review discloses several cases involving the promotion of employees from nonsupervisory to supervisory positions as career promotions and exceptions to competitive procedures, the nature of the violation might read: Violation of provisions of FPM Chapter 335, subchapter 4-2d, "career promotion may not be made to a supervisory position on the basis of addition of supervisory duties to a nonsupervisory position."

In addition to the above, the case listing should include the employee's name, his title, series and grade, the organization in which he works, and the date the improper action took place.

The Commission should not direct the removal of the employee in the case listing unless the case is at the point where this decision can be made. In some cases of procedural violation and all cases of regulatory violation, the Commission must approve the retention of the erroneously promoted employee in the position. The final decision affecting the erroneously promoted employee must be delayed until sufficient reconstruction of the case has been accomplished.

The agency should be told at what point reconstruction should begin, and under what circumstance the agency is required to obtain Commission approval or when the agency may complete the action without prior approval from the Commission.

Union Agreements and Corrective Action - The evaluator should be aware of any provisions in the merit promotion plan that have grown out of negotiations with a labor organization. This is particularly true if the negotiated agreement makes modifications in the agency plan that have not been incorporated in the plan at the time of the evaluation.

For purposes of reviewing promotion activities, those elements of the agreement that modify the promotion plan and which are not in conflict with requirements of the Federal Merit Promotion Policy should be considered as if they were part of the plan itself.

Thus, if a promotion action is a violation of a provision in the negotiated agreement, the evaluator should consider the violation in the same manner as if the agency plan were violated.

The Need for Analysis of Merit Promotion Violations

A thorough analysis of merit promotion violations will be necessary to determine the cause of the violations. The nature and characteristics of the violations may be reflections of the merit promotion plan or the agency guidelines. In this regard, promotion program violations may be viewed as symptoms of the problems identified through the normal evaluation coverage, i.e., the ability of the program to meet the needs of the agency.

The analysis process may identify instances where the objectives or mechanics of the promotion program have not been adequately communicated throughout the agency. This may involve the management, or the employees, and in some cases both. Thus, the evaluator's responsibility includes getting the individual case errors corrected to the best of his ability, plus recommending the training necessary to eliminate the problem. When asked to do so, he should be prepared to assist the agency in developing the needed training materials and in conducting the training (either personally or through arranging for Regional Office help).

There may be occasions when the analysis of promotion program violations leads to the conclusion that there has been careless operation of the promotion plan, or willful and deliberate violation of the law, regulation, standards, promotion plan or guidelines. In such cases, Civil Service Rule V gives the Commission the authority to take or require that appropriate disciplinary action be taken against the responsible agency official or employees. The particular circumstances and conditions surrounding the violation will determine the type of disciplinary action to be taken; however, the action may range from an official reprimand to withdrawal of authority, from suspension to removal from the service. A recommendation for disciplinary action should be thoroughly supported by the analysis, with sufficient factual information to justify the recommended action. (See page 2.)

In addition to achieving the corrective action required in individual cases, the case listing is also an important part of the analysis aimed at identifyi and correcting the cause of the violations. While not to be made a part of the case listing, the cause of each violation should be determined and recorded for future reference and analysis.

Also, it may be important to know the frequency of violations, i.e., the relationship between the number of violations and the number of promotions made. Considering both the cause and the frequency, the seriousness of the violations may be viewed in the following manner.

- Inadvertent violations occuring infrequently affect few employees and would not normally be considered a basis for disciplinary action.
- Inadvertent violations, or violations because of ignorance, occuring frequently affect more people and would be considered serious. A correction in the plan or procedure, or instructing the guilty party, may achieve the desired correction.
- Deliberate violations occuring infrequently affect fewer people, but would be considered serious. Disciplinary action would be indicated if motivation is venal, or indicates a disregard for the agency's or Commission's policies and regulations.
- Deliberate violations occuring frequently affect larger numbers of people and would be considered very serious. In this event, severe disciplinary action would be indicated.

Authority to Take Corrective Action

Regional directors have the authority to require the corrective action necessary in individual violations of merit promotion policy and procedure and to insure program improvement.

Retroactive Promotions Cannot be Used for Corrective Action (Except Under Provisions of Public Law 92-261, the Equal Employment Opportunity Act of 1972)

Comptroller General Decision B - 165571, January 31, 1969 affirms past CG decisions that promotions cannot be retroactive. In doing so the Comptroller General holds that the back pay law does not provide any basis for retroactive promotion. He points out that it is a well settled law (Ganse v. United States, 180 Ct. Cl. 183 (1967) that Federal Government employees are entitled only to the salaries of positions to which they are appointed regardless of the duties they actually perform. This ruling has been modified as a result of the 1972 EEO Act. Additional guidance on processing retroactive promotions is contained in the guidance on the review of EEO in this handbook and in Chapter 713 of the FPM.

PROCEDURES WHEN VIOLATIONS OF THE REGULATIONS UNDER THE WHITTEN AMENDMENT ARE DISCOVERED

When an evaluator discovers that an employee has been promoted in violation of the Whitten Amendment requirements only, he will call to the attention of the agency, by means of the evaluation report or a letter, that a violation has taken place. The agency will be reminded that it is legally obligated to take corrective action in accordance with the Comptroller General's decisions.

As a rule, the General Accounting Office insists that either the action or the effective date be adjusted to conform with the literal requirements of the Commission's regulations. (See 31 CG 564, 32 CG 465, 32 CG 394, and 33 CG 541.) The Commission does not have authority to interpret Comptroller General's decisions for agencies. Therefore, Commission personnel should carefully avoid giving agencies any instructions or advice concerning action required by the Comptroller General's decisions.

The agency will also be asked to notify the Commission office within 30 days of the action that has been taken with respect to the Whitten Amendment violation. If the agency does not take action in accordance with Comptroller General's decisions within the designated period, the Bureau of Personnel Management Evaluation will notify the General Accounting Office of the facts in the case (unless the agency has submitted the case to the Comptroller General for a decision). Regional offices should report to the Director of the Bureau of Personnel Management Evaluation cases where no action has been taken, giving all the facts.

Corrective actions which satisfy the General Accounting Office in Whitten Amendment violations do not necessarily constitute adequate corrective actions from the Commission point of view.

REDUCTION IN FORCE (FPM CHAPTER 351)
(CHANGE TO LOWER GRADE)
(REASSIGNMENT)

Agency.______________________________ ; Date.__________

Advisor ______________________________

INSTRUCTIONS

Check columns 3 to 10 by inserting –

O - If requirements met.

X - If requirements not met. Enter X in distinctive color if a violation.

Leave Blank - If not applicable.

ITEM	NAME	POSITION - SERIES - GRADE	1 EFFECTIVE DATE	2 AUTHORITY	3 REMARKS ON SF 50	4 RETENTION SUB-GROUP	5 SELECTION ORDER/SCD	6 PERFORMANCE RATING	7 PROPER NOTICE	8 BEST OFFER	9 QUALIFICATIONS/RESTRICTED	10 PROPER USE OF RIF	11 OTHER
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		TO:											
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CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

RIF (CHANGE TO LOWER GRADE)

Attachment IV to CSC OL 273-702

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ITEM NO.	ADDITIONAL NOTES

EXCEPTED APPOINTMENT (FPM CHAPTER 213)

- A. Schedule A Appointment
- B. Schedule B Appointment
- C. Schedule C Appointment
- D. Conversion from One Type of Excepted Appt. to Another

Agency ____________________ ; Date __________

Advisor ____________________

BEST COPY AVAILABLE

INSTRUCTIONS

1. In column 1, insert A, B, C, or D to indicate Type of Action.
2. For columns 4 - 10 indicate by –

O - If requirements met.

X - If requirements not met. Enter X in distinctive color if a violation.

Leave Blank - If not applicable.

ITEM	NAME	POSITION - SERIES - GRADE	1 TYPE OF ACTION	2 EFFECTIVE DATE	3 AUTHORITY	4 PROPERLY EXCEPTED	5 PRIOR APPROVAL	6 SF - 171	7 V. P CATEGORY	8 SECURITY/SF-61	9 PHYSICAL FITNESS (1) SF 78 : (2) X-RAY	10 GENERAL MERIT CONSIDERATIONS	11 OTHER
1													
2													
3													
4													
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CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

EXCEPTED APPOINTMENT

BEST COPY AVAILABLE

ITEM NO	ADDITIONAL NOTES

TRANSFER (FPM CHAPTER 315-5)
A. Career
B. Career Conditional

Agency ______________________; Date ______________

Advisor ______________________________

BEST COPY AVAILABLE:

INSTRUCTIONS

1. Enter A or B in Column 1

2. For Columns 4 to 13 indicate by –

O - If requirements met.

X - If requirements not met. Enter X in distinctive color if a violation.

Leave Blank - If not applicable.

ITEM	NAME	POSITION - SERIES - GRADE	1 TYPE OF ACTION	2 EFFECTIVE DATE	3 AUTHORITY	4 REMARKS ON SF 50	5 (1) STATUS: (2) QUALIFICATIONS	6 SF 50	7 V. P. CATEGORY	8 SECURITY	9 RESTRICTED POSITION	10 SF 61	11 TIME RESTRICTION	12 PHYSICAL FITNESS (1) SF-78: (2) X-RAY	13 GENERAL MERIT CONSIDERATIONS	14 OTHER
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257

CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

TRANSFER

Attachment IV to CSC OL 273-702 (5)

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ITEM NO.	ADDITIONAL NOTES

REINSTATEMENT (FPM CHAPTER 315-4)

A. Career
B. Career Conditional
C. Temp Job Appointment

Agency ______________________ ; Date ______________

Advisor ______________________________

INSTRUCTIONS

1. In column 1, insert A, B, or C to indicate type of action.

2. For columns 4 to 12 indicate by –

O - If requirement met.

X - If requirement not met. Enter X in distinctive color if a violation.

Leave Blank - If not applicable.

ITEM	NAME	POSITION - SERIES - GRADE	1 TYPE OF ACTION	2 EFFECTIVE DATE	3 AUTHORITY	4 REMARKS ON SF 50	5 (1) STATUS: (2) QUALIFICATIONS	6 (1) SF 171: (2) VP ON SF 171	7 V. P. CATEGORY	8 (1) SF 61: (2) AGE (3) CITIZENSHIP: (4) MEM. OF FAM.	9 TIME LIMITS SERVICE REQUIREMENT	10 SECURITY	11 PHYSICAL FITNESS (1) SF 78: (2) X-RAY	12 GENERAL MERIT CONSIDERATIONS	13 OTHER
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CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

ITEM NO	ADDITIONAL NOTES

TEMPORARY APPOINTMENT (FPM CHAPTER 316)

A. Temp Appt Pending Est. of Register
B. Temp Appt NTE _____ from Register
C. Temp Appt NTE _____ outside Register
D. Temp Appt NTE _____ based on Reinst _____ Elig
E. Temp Renewable Appt
F. Conversion from Temp NTR _____ to TAPER.
G. Extension of B, C, or D, or renewal of E
H. Emergency Appt

Agency _______________________ ; Date ___________

Advisor _______________________________

INSTRUCTIONS

1. Enter A, B, C, D, E, F, G, or H in Column 1.
2. For columns 4 to 13 indicate by –

O - If requirements met

X - If requirements not met. Enter X in distinctive color if a violation.

Leave Blank - If not applicable

ITEM	NAME	POSITION - SERIES - GRADE	1 TYPE OF ACTION	2 EFFECTIVE DATE	3 AUTHORITY	4 REMARKS ON SF 50	5 (1) SF 171 (2) VP CERT.	6 V. P. CATEGORY	7 (1) SF 61: (2) AGE (3) CITIZENSHIP	8 SECURITY	9 PHYSICAL FITNESS (1) SF 78: (2) X-RAY	10 QUALIFICATIONS	11 ORDER OF SELECTION	12 PROPER EXTENSION	13 GENERAL MERIT CONSIDERATIONS	14 OTHER
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180 CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

TEMPORARY APPOINTMENT

182

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ITEM NO.	ADDITIONAL NOTES

REASSIGNMENT (TYPE OF ACTION – A) (FPM SUPP 990-1 BOOK III)
AND DETAIL (TYPE OF ACTION – B) (FPM CHAPTER 300-8)

Agency________________________; Date ________

Advisor ________________________________

INSTRUCTIONS

Check columns 3 to 11 by inserting –

O - If requirements met.

X - If requirements not met. Enter X in distinctive color if a violation.

Leave Blank - If not applicable.

ITEM	NAME	POSITION - SERIES - GRADE	1 EFFECTIVE DATE	2 TYPE OF ACTION	3 AUTHORITY	4 REMARKS ON SF 50/52	5 KNOWN PROMOTION POTENTIAL	6 V. P. CATEGORY/SCD	7 QUALIFICATIONS	8 PHYSICAL FITNESS	9 TIME RESTRICTIONS	10 RESTRICTED POSITION	11 GENERAL MERIT CONSIDERATIONS	12 OTHER
1		FROM:												
		TO:												
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CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

REASSIGNMENT AND DETAIL

Attachment IV to CSC OL 273-702 (11)

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BEST COPY AVAILABLE

ITEM NO.	ADDITIONAL NOTES

LOYMENT (FPM CHAPTER 352)

A. After Military Service
B. On Letters of Authority from CSC
C. From Reemployment Priority List (RIF)

Agency____________________ Date __________

Advisor______________________________

INSTRUCTIONS

1. Enter A, B, or C in Column 1.

2. For columns 4 to 10 indicate by
   O - If requirements met

   X - If requirements not met. Enter X in distinctive color if a violation

Leave Blank - If not applicable

265

ITEM	NAME	POSITION - SERIES - GRADE	1 TYPE OF ACTION	2 EFFECTIVE DATE	3 AUTHORITY	4 REMARKS ON SF 50	5 (1) STATUS: (2) QUALIFICATION	6 (1) SF 171: (2) VP CERT. (3) WRITTEN APPLICATION	7 V. P. CATEGORY	8 SECURITY	9 PROPER POSITION	10 TIME LIMITS	11 OTHER
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CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

286

RE. IPLOYMENT

137

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Attachment IV to CSC OL 273-702 (13)

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ITEM NO.	ADDITIONAL NOTES

REDUCTION IN FORCE (FPM CHAPTER 351)
(SEPARATIONS & FURLOUGHS)

Agency ______________________; Date ____________

Advisor ______________________

INSTRUCTIONS

Check columns 3 to 9 by inserting =

O - If requirements met

X - If requirements not met. Use distinctive color if a violation

Leave Blank - If not applicable

ITEM	NAME	POSITION - SERIES - GRADE	1 EFFECTIVE DATE	2 AUTHORITY	3 REMARKS ON SF 50	4 RETENTION SUB-GROUP	5 SELECTION ORDER/SCD	6 PERFORMANCE RATING	7 PROPER NOTICE	8 REEMPLOYMENT LIST	9 PROPER USE OF RIF	10 OTHER
2												
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CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

RIF (SEPARATIONS & FURLOUGHS)

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Attachment IV to CSC OL 273-702 (15)

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ITEM NO	ADDITIONAL NOTES

CAREER/CAREER CONDITIONAL SERVICE (FPM CHAPTER 315)

A. Career Appointment

B. Career Conditional Appointment

C. Conversion to type A or B

Agency ____________________ ; Date ____________

Advisor ____________________

INSTRUCTIONS

1. Enter A, B or C in Column 1
2. For columns 4 to 12 indicate by –

O - If requirements met.

X - If requirements not met. Enter X in distinctive color if a violation.

Leave Blank - If not applicable.

ITEM	NAME	POSITION - SERIES - GRADE	1	2	3	4	5	6	7	8	9	10	11	12	13
			TYPE OF ACTION	EFFECTIVE DATE OF ACTION	AUTHORITY	REMARKS ON SF 50	(1) SF 171 (2) VP CERT.	V. P. CATEGORY	(1) SF 61: (2) AGE (3) CITIZENSHIP: (4) MEM. OF FAM.	SECURITY	PHYSICAL FITNESS (1) SF 78: (2) X-RAY	APPROPRIATE REGISTER	SERVICE REQUIREMENT	GENERAL MERIT CONSIDERATIONS	OTHER
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CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

CAREER/CAREER CONDITIONAL

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BEST COPY AVAILABLE

ITEM NO.	ADDITIONAL NOTES

ADVERSE ACTION (FPM CHAPTER 752)
REMOVAL, REDUCTION IN GRADE,
REDUCTION IN RANK, SUSPENSION OF
30 DAYS OR MORE)

Agency____________________; Date ____________

Advisor ________________________________

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INSTRUCTIONS

Check columns 3 to 12 by inserting –

O - If requirements met.

X - If requirements not met. Use distinctive color if a violation.

Leave Blank - If not applicable

ITEM	NAME	POSITION - SERIES - GRADE*	1	2	3	4	PROPOSAL 5	6	7	8	9	DECISION 10	11	12	13
			EFFECTIVE DATE	AUTHORITY	V.P. CATEGORY	REMARKS ON SF 50	SPECIFICITY AND DETAIL	RIGHT TO ANSWER	AVAILABILITY OF SUPPORTING MAT'LS	DELIVERY	NOTICE PERIOD	STATES CHARGES SUSTAINED	RIGHT TO APPEAL	TIMELINESS	OTHER
1															
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*If reduction in grade or rank show from — to

CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

ADV[illegible] ACTION

271

135

3

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ITEM NO.	ADDITIONAL NOTES

PROMOTION (FPM CHAPTER 335)

Agency ______________________________ ; Date ____________

Advisor ______________________________________

INSTRUCTIONS

Check columns 3 to 11 by inserting -

O - If requirements met.

X - If requirements not met. Enter X in distinctive color if a violation.

Leave Blank - If not applicable

ITEM	NAME	POSITION - SERIES - GRADE	1 EFFECTIVE DATE	2 AUTHORITY	3 REMARKS ON SF 50/52	4 QUALIFICATIONS	5 TIME IN GRADE RESTRICTIONS	6 AREA OF CONSIDERATION	7 COMPLIANCE WITH PLAN/PROPER EXCEPTION	8 METHOD OF LOCATING CANDIDATES	9 EVALUATION AND RANKING	10 REFERRAL AND SELECTION	11 GENERAL MERIT CONSIDERATIONS	12 OTHER
1		FROM: TO:												
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10		FROM: TO:												

CIRCLE ITEM NUMBER IF ADDITIONAL NOTES ON REVERSE SIDE

PROMOTION

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Attachment IV to CSC OL 273-[illegible] [illegible]

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ITEM NO	ADDITIONAL NOTES

274

200

GPO 868-542

SOME SUGGESTED PROGRAM COVERAGE QUESTIONS

1. Personnel management and classification. Do supervisors and managers have and use the authority to restructure, reorganize, and change position content when vacancies occur, or do they tend to fill in behind at the same grade and series? Are opportunities for career progression built in? Does professional/technical mix make sense? What is the record on classification maintenance surveys? annual review of positions? Do supervisors and employees know the basis for classification of positions? What kinds of controls exist? Any relation to budget? Any studies of work organization? Evaluation statements? Limit of classification authority?

2. Staffing. Are future manpower needs based on operating program changes? What kinds of studies on retirements, turnover? Does recruiting cover all available sources? Minorities? Women? Youth? College relations? Does the promotion program get the best qualified? Is real consideration given? Do employees believe this? Are appraisals meaningful? What is the tie-in between performance evaluation and training?

3. Policy formulation and issuance: communications. Do issuances really have an effect, or are just so much paper to file? How are issuances distributed, who sees them? How well kept are FPM, agency supplements, manuals, local issuances? Is there a positive climate of trust and frankness, or an atmosphere of secrecy and reticence? What communications devices are used?

4. Performance evaluation and motivation. Is it a true individual employee-supervisor experience of goal setting, performance improvement counseling, progress measurement, or is it a once-a-year routine exercise? What motivators are used (awards, commendations, quality increased, job enrichment, training, etc.)?

5. Employee relations and services. Do employees really feel free to grieve, appeal, ask questions? Are top manager's, administrative officer's, and personnel officer's doors open? What is the quality of services?

6. Training and development. Is there a systematic identification of training needs, meshing organizational and employee requirements, or is the initiative left up to employees? Is there a proper variety of training taking place by grade, occupation, organization, sex, age, race? Any upward mobility programs? Training evaluation? Orientation programs?

7. Equal Employment Opportunity. Is there real commitment and action? Any breakthroughs? Is the program understood and accepted at all levels? Community contacts? Is EEO counselor system established and publicized? Status of discrimination complaint?

8. Labor-management relations. Do supervisors and employees really feel free to join or not to join? Is management trained, aware, knowledgeable? What is the nature and extent of union activity? What is management's basic approach to LMR?

9. Personnel records and reports. OPF's maintained in accordance with FPM? Regulatory accuracy of personnel actions?

PROGRAM REVIEW
ROLE PLAY 1

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Fred Jones
Equal Opportunity Officer, GS-160-13
Administrative Division

You have this information to provide the Personnel Management Evaluator:

This data is intended to present an incomplete picture of the EEO posture of FSPA. In addition to the following information, volunteer only that which is already available in materials. Qualify that information with "I think..." or "I guess..." Only if asked, respond that neither a Federal Women's Program Coordinator nor Sixteen-Point Program Coordinator have been selected and that the EEO Committee has not been established.

- About one year on job.

- Spending practically all your time on EEO contract compliance work.

- Little time available for the FSPA Region internal program.

- Could really use a live-wire assistant, maybe a grade 9.

- Have only three EEO Counselors. Seems adequate to handle light complaint work load. No complaints have gone formal.

- Still, would like to see a counselor for each of the divisions and project offices.

- Upward mobility, though a non-existent program, is a high priority item if the time available. Also would like to see a good career counseling program. Have discussed both ideas briefly a few months back with the Personnel Officer.

- Think you have made recent gains in recruiting. You think Personnel Officer and a supervisor in Office of Direct Federal Construction were instrumental in setting up work-study program of some kind with the Community College.

- You work through the Director of Administration. Rarely see the Regional Director. RD seems interested. He signed off on the policy letter and the action plan.

PROGRAM REVIEW
ROLE PLAY 2

Ira Sunspot
Personnel Officer, GS-201-13
Personnel Branch
Administrative Division

You have the following information to give the Personnel Management Evaluator as requested. While this data should cover the major points, not all items can be anticipated. If reference to already available materials does not resolve the issue, use your own judgment as how to proceed. When stuck, respond, "I wasn't aware of that, but I'll certainly check it out." The information may not be discussed with you in the order given below.

Staff - three generalists (Volunteer this information)

Glen - Solar Energy Research Division, Technical Services, Division, and Solar Energy Division in DFC.
Strengths: Classification grievance and appeals
Weaknesses: Staffing, training

Pete - Design Division and four project offices, Office of DFC
Strengths: Classification and employee relations
Weaknesses: Training and staffing

Mary - Grants Division, Compliance Division, Administrative Division
Strengths: Staffing
Weaknesses: Classification, employee relations, training

You cover LMR and training personally. "I want to see my specialists become more involved in training as we go along. Frankly, I don't think we'll ever be overworked or require a great deal of sophistication in LMR."

Position Management and Classification

Classification maintenance reviews are up to date. Supervisors write position descriptions; you assist them on a continuing basis. Your specialists are quite active in position management advisory services. You may have some weaknesses in Mary's area (Grants, Compliance, and Administrative Divisions) because she is new to classification and still feeling her way.

Standard position descriptions are a convenience but this policy needs reexamination because it may be creating artificial similarities among positions and qualifications.

The Project Proposal Team approach has been very successful in the past though it is time-consuming. Perhaps more approval authority should be delegated, but this would require reorganizing the Grants Division, and perhaps the Research Division in part.

Position Management and Classification (continued)

You've heard rumors that there may be some grumbling among professionals outside SERD concerning classification using the Research Grade Evaluation Guide; however, you don't think it's serious. You've asked your specialists to be alert to it and ask supervisors to explain the rationale for it. Frankly, you wish you could use such a system for all positions. It would simplify your life considerably.

Differences in technician/engineering positions are clear but supervisors may be unaware of the classification impact on how they assign the work.

Clerical pool complaints are standard ones. All clerks are officially certified as competent. Some employees reluctant to take refresher training.

We process requested classifications within 30 days, implement new standards within 90 days.

Regional Office management has tended to have excessively high qualification standards, and beyond the technician restructuring, little has been done to create bridge or career ladder positions.

Staffing

Your office cooperates with the Budget Officer in maintaining manpower statistics, completing utilization and other kinds of studies on request of managers.

Solicit one-and five-year manpower projections from operating divisions as part of the annual budget process.

You work for maximum involvement of supervisors in actual recruiting contacts. Only resistance is the Office of DFC Director and two or three project office managers.

Recruiting contacts well established with colleges and NAACP. There are American GI Forum and LULAC chapters in town, but we haven't had much to do with them.

Few physical science or engineering technicians in the labor market with solar energy know-how. A massive home-grown product approach is needed but hasn't been bought by management as yet. Office of Director Federal Construction is currently relying on piecemeal OJT and standard general technician training.

Top management prefers scientific/engineering background for its mid and upper management jobs, and grants experience has been deemphasized. Management has apparently been willing to pay the price so far in turnover and lowered morale that may come about. You haven't discussed the specific situation in Grants and Compliance Divisions with the Administrative Officer or the Regional Director. You have briefly talked to the chiefs of Grants and Compliance, but they were not very receptive.

Realize employee opinion low re merit promotion, but it is improving.

The merit promotion plan application may be too long and complex, but present system is better than the old skills file approach.

Specialists sit in as technical advisors on each panel. Specialists also handle GS-5 and below for their areas.

Training

You are responsible for the training program. Most activity revolves around (1) basic supervisory training, (2) "state-of-the-art" professional and technician training, and (3) routine clerical skills training. No funds available for other types of training in any major categories. Training needs are identified at division-level staff meetings and individual employee requests.

No supervisor has made an official request for training in counseling marginal employees. If made, it would receive serious consideration.

Agree that clearer definition of supervisory duties is needed since Project Team Leaders seem confused about their roles--they are not, in fact, supervisors. That is why their requests for supervisory training were turned down.

Have no real system of assessment of training effectiveness. Supervisors and employees usually keep you informed.

Technical training is the supervisor's business. You worry about general management and clerical training.

Employee-Management Relations

All computer workers are asked to sign a statement agreeing to overtime, rotating shifts, and weekend and holiday work. It doesn't prevent them from changing their minds later. The Administrative and Technical Service Division Chiefs are working on it.

Haven't got enough staff for career counseling. Worth looking into, but employee counseling, including debt and retirement, might take priority.

Feel policy that employees should go through an administrative assistant is a workable one because (1) routine inquiries are handled immediately, and (2) Personnel Office is given more time to handle the more complex questions.

Supervisors haven't really had much exposure to LMR. They have the policy statement in their Admin Manuals, but you haven't stressed it in training. You know of no complaints. Employees' handbook, which is given to all new employees, covers LMR rights.

Internal Evaluation

No formal personnel management evaluation system exists because no HQ guidance and assistance beyond a policy statement exists at present.

Equal Employment Opportunity

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Reiterate your comments to Team Leader in his memo to the team in the Presurvey Situation Statement.

You consider major breakthroughs to be: two black engineers (College Referral from Design Unit supervisor) and the work-study program with the Community College.

You personally feel more would be done if the RD exhibited strong commitment.

None of the action items in the plan have been implemented to your knowledge.

No supervisory performance evaluation is made although FSPA policy requires it.

FSPA VACANCY LISTINGS (43)

Grants Applications Branch (3)

2 - Grants Manager, GS-1101-12
1 - Grants Specialist, GS-1101-11

Compliance Division (8)

5 - Auditor, GS-510-13
3 - Grants Administrator, GS-1101-12

ADP Branch (6)

1 - Supervisory Computer Specialist, GS-334-13
1 - Computer Operator, GS-332-5
1 - Card Punch Operator, GS-356-3
2 - Card Punch Operator, GS-356-2
1 - Computer Aid, GS-335-4

Office of Direct Federal Construction (3)

1 - Clerk-Typist (Trainee), GS-322-1
1 - Clerk-Steno, GS-312-4
1 - Clerk-Typist, GS-322-3

Design Division (3)

1 - Supervisory Civil Engineer, GS-810-13
2 - Clerk-Steno, GS-312-4

Drafting Unit (4)

2 - Engineering Draftsman, GS-818-3
2 - Engineering Draftsman, GS-818-2

Solar Energy Division (6)

2 - Physicist, GS-1310-12 (Team 1)
3 - Phys Sci Tech, GS-1311-9/8/6 (Team 1)
1 - Phys Sci Tech, GS-1311-5 (Team 2)

Project Office #1 (4)

1 - Phys Sci Tech, GS-1311-9
2 - Engineering Tech, GS-802-6
1 - Clerk-Steno, GS-312-4

Project Office #2 (3)

1 - Phys Sci Tech, GS-1311-9
1 - Phys Sci Tech, GS-1311-7
1 - Engineering Tech, GS-802-6

Project Office #4 (3)

1 - Phys Sci Tech, GS-1311-9
2 - Phys Sci Tech, GS-1311-7

Issue Date:

Closing Date:
Announcement Number: Ten working days from issuance

Merit Promotion Program
VACANCY ANNOUNCEMENT

FEDERAL SOLAR POWER ADMINISTRATION

TITLE, SERIES & GRADE:

Grants Manager, GS-1101-12

VACANCY LOCATION:

Grants Application Branch
Grants Division
Central City, USA

AREA OF CONSIDERATION:

Central, Southern, Western Regions

DUTIES, QUALIFICATIONS, AND SELECTIVE PLACEMENT FACTORS (IF ANY):

Plans, establishes, formulates, and reviews programs, policies, and procedures relating to a regional program of grants to States and localities to construct and maintain power stations which directly convert solar radiation into electricity. This covers pre-application consultation, grant application processing, and grant approval. May perform engineering and scientific services in connection with the negotiation, administration, and monitoring of more complex grants. Evaluates the reasonableness of price proposals through an analysis of direct and indirect production costs.

Must have successfully completed a full four-year course in an accredited college or university leading to a bachelor's degree, with major study in business or public administration, accounting, engineering, and/or the physical sciences. Preference given candidates with education or experience in solar energy principles and procedures. At least one year experience directly related to the specific position to be filled. Candidate's record of experience and education must demonstrate the ability to successfully perform the duties of the position.

FACTORS WHICH WILL BE CONSIDERED IN EVALUATING QUALIFIED CANDIDATES:

Evaluation will be made of appraisals, experience, education, training, awards, and outside activities with proportionate weight given to them in the order shown.

HOW TO APPLY: **ANY EMPLOYEE OF** FSPA **may apply for this vacancy regardless of the area of consideration. Submit a completed Merit Promotion Interest Statement. (A completed SF 171, Personal Qualifications Statement, should also be submitted if the personnel office below is not the one which maintains your Official Personnel Folder. See instructions on Form** FSPA 279. **APPLICANTS NOT EMPLOYED BY** FSPA **must submit only a completed Standard Form 171, Personal Qualifications Statement.**

WHERE TO APPLY: **By the indicated closing date, completed form(s) must be sent to:**

Personnel Office
Central Region
FSPA

NOTE: The FSPA is an equal opportunity employer. Vacancies are filled in accordance with non-discrimination policies of the U.S. Government.

See reverse side for additional information, if any.

Issue Date:

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Merit Promotion Program

Closing Date:
Announcement Number: Ten working days from issuance

VACANCY ANNOUNCEMENT

FEDERAL SOLAR POWER ADMINISTRATION

TITLE, SERIES & GRADE:

Physical Science Technician
GS-1311-9

VACANCY LOCATION:

Solar Energy Division
Central Region
Central City, USA

AREA OF CONSIDERATION:

Central, Southern, Western Regions

DUTIES, QUALIFICATIONS, AND SELECTIVE PLACEMENT FACTORS (IF ANY):

Provides normal support duties for overall multi-disciplinary physical sciences projects. Assigned specific tasks involving the setup and operation of special solar energy equipment, including a number of monitoring devices. Serves also as a member of an interdisciplinary scientific "team" assigned the task of developing procedures to enable the team to vacuum-coat a 100-inch mirror to be utilized as a standard for other similar pieces of equipment. Searches various texts and articles previously published relating to similar projects, devises unique fixtures and shutters to aid in the coating application and participates with other members of the team in simulated coating operations. Aids in writing the technical report for publication concerning the construction, operation, and results obtained from the project.

Must have successfully completed a full four-year course in an accredited college or university leading to a bachelor's degree, with major study in an appropriate field of physical science. At least one year experience directly related to the specific position to be filled, with specialization in solar energy principles and techniques. Candidate's record of experience and education must demonstrate the ability to perform the duties of the position.

FACTORS WHICH WILL BE CONSIDERED IN EVALUATING QUALIFIED CANDIDATES:

Evaluation will be made of appraisals, experience, education, training, awards, and outside activities with proportionate weight given to them in the order shown.

HOW TO APPLY: **ANY EMPLOYEE OF** FSPA **may apply for this vacancy regardless of the area of consideration. Submit a completed Merit Promotion Interest Statement. (A completed SF 171, Personal Qualifications Statement, should also be submitted if the personnel office below is not the one which maintains your Official Personnel Folder. See instructions on Form** FSPA 279.
APPLICANTS NOT EMPLOYED BY FSPA **must submit only a completed Standard Form 171, Personal Qualifications Statement.**

WHERE TO APPLY: **By the indicated closing date, completed form(s) must be sent to:**

Personnel Office
Central Region
FSPA

NOTE: The FSPA is an equal opportunity employer. Vacancies are filled in accordance with non-discrimination policies of the U.S. Government.

See reverse side for additional information, if any.

STANDARD FORM 50 – Rev. December 1961
U.S. Civil Service Commission
FPM Chap. 295

NOTIFICATION OF PERSONNEL ACTION
(EMPLOYEE – See General Information on Reverse)

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(FOR AGENCY USE)

1. NAME (CAPS) LAST – FIRST – MIDDLE: OMEGA, RAY
MR. – MISS – MRS.: MR.
2. (FOR AGENCY USE): 0000-00
3. BIRTH DATE (Mo., Day, Year): 10-9-39
4. SOCIAL SECURITY NO.: 000-00-0000
5. VETERAN PREFERENCE: 2 (1 – NO; 2 – 5 PT.; 3 – 10 PT DISAB.; 4 – 10 PT COMP.; 5 – 10 PT. OTHER)
6. TENURE GROUP: 1
7. SERVICE COMP. DATE: 8-30-69
[redacted]
9. FEGLI: 1 (1 – COVERED (Regular only – declined Optional); 2 – INELIGIBLE; 3 – WAIVED; 4 – COVERED (Reg. & Opt.))
10. RETIREMENT: 1 (1 – CS; 2 – FICA; 3 – FS; 4 – NONE; 5 – OTHER)
11. (FOR CSC USE)
12. CODE: 702
NATURE OF ACTION: PROMOTION
13. EFFECTIVE DATE (Mo., Day, Year): 10-27-73
14. CIVIL SERVICE OR OTHER LEGAL AUTHORITY: Reg. 335-102

15. FROM: POSITION TITLE AND NUMBER: Physical Science Technician FSPA-CO-173DFC
16. PAY PLAN AND OCCUPATION CODE: GS-1311
17. (a) GRADE OR LEVEL: 7
(b) STEP OR RATE: 2
18. SALARY: pa 10,301
19. NAME AND LOCATION OF EMPLOYING OFFICE:
FSPA Central Region
Central City, USA

20. TO: POSITION TITLE AND NUMBER: Physical Science Technician FSPA-CO-169DFC
21. PAY PLAN AND OCCUPATION CODE: GS-1311
22. (a) GRADE OR LEVEL: 9
(b) STEP OR RATE: 2
23. SALARY: pa 12,573
24. NAME AND LOCATION OF EMPLOYING OFFICE:
FSPA Central Region
Central City, USA

25. DUTY STATION (City-county-State): Central City, USA
26. LOCATION CODE: 00-0000-00
27. APPROPRIATION:
28. POSITION OCCUPIED: 1 – COMPETITIVE SERVICE; 2 – EXCEPTED SERVICE ☐
29. APPORTIONED POSITION: FROM: ☐ 1 – PROVED – 1; 2 – WAIVED – 2 TO: ☐ STATE

30. REMARKS:
☐ A. SUBJECT TO COMPLETION OF 1 YEAR PROBATIONARY (OR TRIAL) PERIOD COMMENCING
☐ B. SERVICE COUNTING TOWARD CAREER (OR PERMANENT) TENURE FROM:
SEPARATIONS: SHOW REASONS BELOW, AS REQUIRED. CHECK IF APPLICABLE: ☐ C. DURING PROBATION

Selected from promotion cert #73-187
(Vacancy Ann CS 6B-3-2)

Position, Supv'y
Work Schedule
Pay Rate Det.
Special Program Id.
Educational Level
Date Degree Attained
Academic Discipline

Competitive Level

31. DATE OF APPOINTMENT AFFIDAVIT (Accessions only)
32. OFFICE MAINTAINING PERSONNEL FOLDER (If different from employing office)
33. CODE: EMPLOYING DEPARTMENT OR AGENCY: FSPA
34. SIGNATURE (Or other authentication) AND TITLE:
Personnel Officer
FSPA Central Region
35. DATE: 10-27-73

5 PART
50-133

STANDARD FORM 50 – Rev. December 1961
U.S. Civil Service Commission
FPM Chap. 295

NOTIFICATION OF PERSONNEL ACTION
(EMPLOYEE – See General Information on Reverse)

BEST COPY AVAILABLE

(FOR AGENCY USE)

1. NAME (CAPS) LAST – FIRST – MIDDLE SOL, VIOLET	MR. – MISS – MRS. MISS	2. (FOR AGENCY USE) 0000-00	3. BIRTH DATE (Mo., Day, Year) 11-7-45	4. SOCIAL SECURITY NO. 000-00-0000
5. VETERAN PREFERENCE 1	1 – NO 2 – 5 PT. 3 – 10 PT DISAB. 4 – 10 PT COMP. 5 – 10 PT. OTHER	6. TENURE GROUP 2	7. SERVICE COMP. DATE 1-7-73	[redacted]
9. FEGLI 1	1 – COVERED (Regular only – declined Optional) 2 – INELIGIBLE 3 – WAIVED 4 – COVERED (Reg. & Opt.)	10. RETIREMENT 1	1 – CS 2 – FICA 3 – FS 4 – NONE 5 – OTHER	11. (FOR CSC USE)
12. CODE 702	NATURE OF ACTION PROMOTION	13. EFFECTIVE DATE (Mo., Day, Year) 10-6-73	14. CIVIL SERVICE OR OTHER LEGAL AUTHORITY Reg. 335 102	

15. FROM: POSITION TITLE AND NUMBER Clerk-Stenographer	16. PAY PLAN AND OCCUPATION CODE GS-312	17. (a) GRADE OR LEVEL 4	(b) STEP OR RATE 2	18. SALAR pa 7,4[illegible]

19. NAME AND LOCATION OF EMPLOYING OFFICE
FSPA Central Region
Central City, USA

20. TO: POSITION TITLE AND NUMBER Supervisory Clerk-Stenographer	21. PAY PLAN AND OCCUPATION CODE GS- 312	22. (a) GRADE OR LEVEL 5	(b) STEP OR RATE 1	23. SALARY pa 8,055

24. NAME AND LOCATION OF EMPLOYING OFFICE
FSPA Central Region
Central City, USA

25. DUTY STATION (City-county-State) Central City, USA	26. LOCATION CODE 00-0000-00

27. APPROPRIATION	28. POSITION OCCUPIED 1 – COMPETITIVE SERVICE ☐ 2 – EXCEPTED SERVICE	29. APPORTIONED POSITION FROM: ☐ 1 – PROVED – 1 2 – WAIVED – 2 TO: ☐ STATE

30. REMARKS: ☐ A. SUBJECT TO COMPLETION OF 1 YEAR PROBATIONARY (OR TRIAL) PERIOD COMMENCING
☐ B. SERVICE COUNTING TOWARD CAREER (OR PERMANENT) TENURE FROM:
SEPARATIONS: SHOW REASONS BELOW. AS REQUIRED. CHECK IF APPLICABLE: ☐ C. DURING PROBATION

Career promotion resulting from position being reconstituted at a higher grade because of unplanned accretion of additional duties and responsibilities (FPM 335, Reg. (b)(1)(b)

Position, Supv'y
Work Schedule
Pay Rate Det.
Special Program Id.
Educational Level
Date Degree Attained
Academic Discipline

Competitive Level

31. DATE OF APPOINTMENT AFFIDAVIT (Accessions only)	34. SIGNATURE (Or other authentication) AND TITLE Personnel Officer FSPA Central Region
32. OFFICE MAINTAINING PERSONNEL FOLDER (If different from employing office)	
33. CODE EMPLOYING DEPARTMENT OR AGENCY FSPA	35. DATE 10-6-73

5 PART
50-133

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FSPA REGULATORY REVIEW SUMMARY

STAFFING

Excepted appointments - of 15 appointments, 7 were reviewed. OPFs of 5 VRAs did not contain written training agreements.

Transfers in - of 25, 2 were reviewed and were in compliance.

Reinstatements - of 5, 1 was reviewed.

Promotions - of 40 promotions, 5 competitive and 10 career were reviewed.

- 2 competitive promotion announcements erroneously used positive education requirements.
- 2 career promotions made as a result of accretion of duties not a result of planned management action were, in fact, a result of planned management action. They should have been competitively announced.

Removals - of 2, reviewed 2. Both were in compliance.

Details - identified 7 3-month details in DFC operations; 2 were to higher grade positions. All were undocumented. Of 5 official details to higher grade, reviewed 5. All were in compliance.

Qualifications - unrealistic quals imposed on all internal placements.

CLASSIFICATION

1 Public Information Officer, GS-1081-15, Office of the Regional Director. Desk Audit. Position is overgraded. It is a weak GS-14.

1 Engineering Technician, GS-802-7, Solar Energy Research Division. Desk Audit. Position is undergraded. Should be GS-8. Two 1A positions were not desk audited.

1 Physical Science Technician, GS-1311-7. Desk Audit. Position is properly allocated.

1 Technical Services Manager, GS-301-15, Technical Services Division Chief. Position description review. No evaluation statement available. It is questionable if grade is accurate based on Part 2 of the Supervisory Grade Evaluation Guide.

1 Office Services Manager, GS-32-9, Administrative Division. Desk Audit. Position as operating will not support the grade level. Proper grade is GS-8.

1 Supervisory Civil Engineer, GS-810-13, Design Division, Office of DFC. Desk Audit. Position is properly allocated.

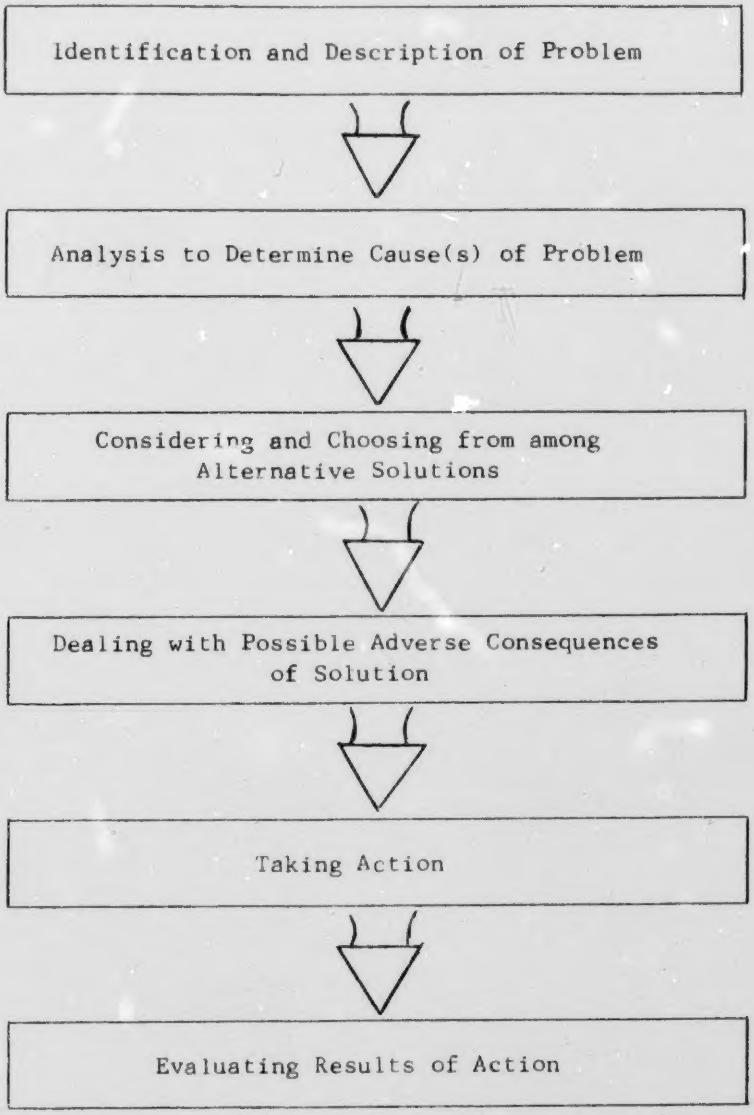
An Introductory Workshop in

THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

PROBLEM SOLVING

PROBLEM IDENTIFICATION -- SOLUTION MODEL

The problem identification -- problem solution process ideally operates in this pattern:


Identification and Description of Problem
Analysis to Determine Cause(s) of Problem
Considering and Choosing from among Alternative Solutions
Dealing with Possible Adverse Consequences of Solution
Taking Action
Evaluating Results of Action

EXPLANATION OF THE MODEL

Identification and Description of Problem

Problem Identification

The word "problem" is used here to represent the reasons for failure to meet expected performance. That is, something is happening when it should not be, or it is not happening when it should be. Because of our tendency to generalize or to speak in global terms, symptoms of a problem are often confused with the specific statement of that problem. Recording symptoms is not problem identification and, unless we can keep these concepts separate, much of our problem solution effort will be misdirected if it focuses principally on symptoms.

For example, a review of an organization discloses an undercurrent of discontent among a number of employees about the Merit Promotion Program. This discontent is particularly strong at the lower grade levels and among minority and women employees. As a problem statement, such a generalization cannot be regarded as more than a first step. It is not a workable problem statement but rather a descriptive statement of the atmosphere within the organization. It indicates the existence of one or more specific problems which must be identified and resolved to improve the functioning of the organization. It is a general problem statement which is symptomatic of a number of specific problems.

The objective in problem identification is to sort out or separate individual problems from broad generalizations. Since our example is not a workable problem statement, what would appropriate, specific problem statements look like in "breaking down" our example? A variety of deficiencies or reasons for employee discontent might be identified in this organization. They could be stated in the following manner:

(1) The agency has not adhered to the requirements of its promotion plan.

(2) Employees do not understand how the Merit Promotion Plan is supposed to work or how it does work.

(3) Supervisors practice favoritism in selecting employees for promotion.

(4) Minority group and female employees are rarely selected for promotion although qualified candidates.

Even though each of these problem statements is related to or comes from the general statement of discontent with the Merit Promotion Plan, each is different from the original statement because it is specific enough to permit further analysis. The problem statements are manageable: further problem description, cause analysis, and solution are possible and probable. The general statement does not lend itself to careful analysis and may cause much wasted effort if it is used as the basis for problem solution.

Problem Description

Once the problems of the organization under review are identified, they should be described in as much detail as possible. If we choose from our examples the statement that the agency has not adhered to the requirements of its promotion plan, how could this statement be further described? We could begin by asking what this statement means. What procedures of the promotion plan is the agency violating? Is it evaluating and correctly ranking its employees for promotion? Are the merit promotion records and files properly documented? Is there competition for vacancies to the degree described in the plan? We are trying to describe the problem in terms of deviation from expected or normal behavior. What is this agency doing that it should not be, or not doing that it should be in terms of its Merit Promotion Plan?

Analysis to Determine Cause(s) of Problem

Once a problem has been identified and described, the evaluator begins a search for causes of that problem. To continue with our example, the evaluator must determine why the Merit Promotion Plan is being violated by supervisors who:

1. use selective placement factors to unduly restrict the number of eligible candidates for promotion,

2. initiate non-competitive details for higher level positions which result in promotions, and

3. select employees for promotion without regard to the requirement for competition and appropriate vacancy announcements.

The failure of supervisors (as managers in a given agency) to follow their own Merit Promotion Plan by engaging in such inappropriate behavior is a serious matter, and one which must have a cause. The evaluator should make every effort to determine the cause of such behavior with great accuracy, for his statements of cause will in effect delimit the solutions he proposes for this problem.

What might be the cause(s) of the behavior described in our example? There is considerable deviation from what is expected by the promotion plan, and there should be some explanation for such behavior. Is the plan too complicated or too complex to be workable? Does it take an inordinate amount of time to fill vacancies? Do supervisors understand their responsibility to make the plan work? Is there a question of bias and a deliberate attempt to restrict the entry of certain segments of the workforce into particular positions? The evaluator must test each possible cause in a critical way to determine if it fully explains the problem, and if what appears as the most likely cause is indeed the real cause of the problem.

Considering and Choosing from among Alternative Solutions

After a given problem and its causes are analyzed, an evaluator turns to the decision that he must recommend to resolve the problem. The initial step is to construct several approaches which might eliminate the causes of the problem, and the problem itself. If he has analyzed the cause(s) of the problem correctly, it will not be difficult to formulate solution proposals. These proposals may be simple or they may be elaborate; they may be achieved quickly or continue for months. In any case, the evaluator should consider carefully what the alternative approaches to solving the problem may be and sound out management before he recommends one specific approach.

One caution at this stage: the tendency in the real world is to look at problems in a fragmented perspective. During the course of a workday, an evaluator is confronted with a series of problems in a linear way. Each of these incidents needs attention, but they can distort the evaluator's problem-solving perspective. That is, if an evaluator begins to see problem-solving as a series of small crises which must be dealt with as they arise, he may fail to understand how these individual problems relate to a weakness that is widespread in a particular organization. Such a far-ranging problem may require a solution that addresses itself to the entire "system" rather than a series of incidents.

An example of this difference would be the "message" that a series of discrimination complaints should give to agency management. Each complaint must be investigated and resolved individually; however, the incidents might be indicative of a situation that needs correction throughout the agency. This would require a problem solution technique with a much broader approach to correct a system defect rather than continuing to deal on an individual basis with an ever larger volume of complaints. The impact on organizational effectiveness is far greater if managers keep their perspective and understand the relationship that individual problems have to the entire management system.

Dealing with Possible Adverse Consequences of Solution

Evaluators should take time to consider the consequences of their proposed problem solutions. Sometimes "solutions" create more adverse consequences than the original problem. A systematic review of the proposed plan of action -- before a final decision is made -- may reveal circumstances which will prevent the objectives of the proposed solution from being attained. The situation may change or important items may have been overlooked in the rush to take action.

In addition, there should be a contingency plan developed to overcome those difficulties that might reasonably be foreseen in implementing the problem solution. The resistance of staff to change, or the reluctance to admit that current procedures are not effective can prove to be formidable obstacles to even the most carefully constructed problem solution. The evaluator must anticipate such difficulties if he is to have strong follow-through in assuring that results are being achieved. If the action plan is to be directed toward positive change in the organization, the final assessment of the proposed problem solution must include a consideration of the consequences of the decision as well as a preparation for the obstacles that can be anticipated in its implementation.

Taking Action

When the final assessment is completed, the action plan is ready to be applied to the agency's internal organization and external environment. Here is where effective performance is directed toward positive change in the organization. Here is where managers, supervisors, and staff carry out responsibilities for action plan items and here is where the manager must have strong follow-through to assure that results are being achieved.

Evaluating Results of Action

The last step in the problem solution process deals with the evaluation of the results of the implemented plan of action. What happened? Did anything happen? Just how effective were the decisions that were made in implementing this plan of action? To what extent were the objectives of the plan achieved?

Managers and evaluators should place heavy emphasis on evaluation as an integral part of the problem identification-solution process. Evaluation actually begins with the identification of problems and continues to provide feedback to menagers throughout the solution process. What may be regarded as the last step in the problem solution process may also be considered the first step in the ensuing cycle of problem identification.

STUDENT WORKSHEET

PROBLEM ANALYSIS WORKSHEET

Problem Description (Be specific, make statement of problem manageable

boundaries of problem (organizational, program, etc.)

dimensions of problem (impact, number, kind, publicity, etc.)

Possible Causes (Underline most likely. Does it fully explain the problem? Do you know who as well as what?)

Alternative Solutions (Does solution have advantages? Disadvantages? Is it right for particular environment? Underline most appropriate.)

Possible Adverse Consequences (Are there or will there be risks? Can potential risks be minimized? How?)

Recommendation (Fix responsibility. Explain potential risks, if any, and provide contingency plan. Can followup procedure be built in?)

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An Introductory Workshop in

THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

CLOSING CONFERENCE

SAMPLE CLOSEOUT NOTES

OBJECTIVE: To assist management in making the most effective use of civilian human resources in accomplishing base mission requirements -- both operational mission requirements and public policy mission requirements.

Approach is problem-oriented rather than to provide a rating as to how well you are adhering to personnel policies and procedures in each separate personnel program area.

Primary problem identified by Base Commander: Adverse impact of personnel ceiling cuts, average grade controls and funding limitations on the local command in planning for, controlling, and directing the civilian workforce.

Findings based on:

Interviews with: Managers - 15
Supervisors - 30
Employees - 119 (including 18 employee requested)
Union representatives - 4
Technical staff

Analysis of 190 employee questionnaire responses.

Analysis of base records, reports, guidelines, and personnel actions.

Review of positions for classification accuracy (19 desk audit, 40 position description review).

General climate for personnel management:

1. The base personnel management system is resulting in generally effective utilization of the civilian workforce for operational mission accomplishment -- few problems exist in the technical adequacy of classification of individual positions and the processing of personnel actions.

2. Effective identification and action on potentially serious problem areas through the cyclic personnel management assistance review programs as well as day-to-day service.

3. Generally, employees feel the base is a good employer and morale is high. Exceptions exist in specific organizations. These have been identified in assistance surveys, and efforts are being made to improve these situations.

    a. Transient Maintenance Section and Corrosion Control Shop, __th Bomb Wing - dissatisfaction in classification, underutilized skills, etc.

b. Commissary Branch, Services Division, __st CSG - breakdown in supervisory-employee relations and resulting management union conflicts.

c. Food Service Branch, Services Division, __st CSG - breakdown in supervisory-employee communications as a result of rapid turnover of military supervisors.

d. Procurement Division, __st CSG - breakdown in supervisory-employee communications.

e. Structures Section, O & M, Civil Engineering Squadron, __st CSG - breakdown in supervisory-employee communications as a result of rapid turnover of military supervisors.

4. Employees have confidence in overall management policy and practice in:

   a. Merit promotion.

   b. EEO

   c. Labor-management relations.

5. Areas of employee concern:

   a. Breakdown in supervisory-employee communications in some organizations as a result of rapid turnover of military supervisors.

   b. Adverse impact of ceiling and fund cuts and average grade controls on recruitment, training, position classification, and incentive awards.

   c. Inconsistency of supervisory involvement in evaluating performance, determining training needs and use of informal and formal recognition.

6. Majority of managers, supervisors, and employees feel there has been steady improvement in the quality of CPO personnel services.

Additional actions can be taken at each level of personnel management responsibility in your continuing effort to improve the effectiveness of the base personnel management system in accomplishing mission requirements.

1. Some supervisors and managers rely on CPO and _____staffs to carry out position management functions required by HQ's policies and guidance. As a result, they may be missing opportunities to improve effectiveness and economy of their operations to restructure

jobs below UDL and identify career patterns to develop employees to full potential. This lack of involvement is resulting in strong supervisory and nonsupervisory resistance to proper classification principles and is causing general dissatisfaction with grades.

Recommendations:

Top management should place additional management emphasis on supervisory responsibilities for position management.

Increase supervisory responsibility for explaining and upholding classification decision based on published standards.

The CPO staff should expand training on policies, techniques, and expected results of effective position management and the supervisor's role during the SACMET and classification portions of Management I training.

2. In EEO no discriminatory actions or attitudes were found, and some positive actions are being taken. Managers and supervisors are aware of base policy; however, none viewed EEO as a continuing personal responsibility. As a result, managers and supervisors are not taking positive steps to promote upward mobility through career counseling and position redesign.

Recommendations:

Managers should:

- Reemphasize line responsibility for EEO.
  - -- Increase emphasis on EEO responsibilities in performance evaluation.
  - -- Establish award system for supervisors and managers taking innovative actions to promote EEO.
- Utilize EEO committee as planning and evaluative body and inform managers and supervisors of committee actions.

Supervisors should:

- Review positions and people to determine who has the potential to advance and how it can be accomplished through established personnel system.

CPO should:

- When possible, continue increased emphasis in recruiting and community relations contacts with the Indians which are the largest minority group in the area.

- Place more emphasis on upward mobility and career counseling during PMA visits.

3. Some supervisors are not identifying specific strengths and weaknesses based on established performance standards, providing specific guidance on areas needing improvement, relating training needs to performance, and exploring career development alternatives.

Recommendations:

Managers and supervisors should:

- Place more emphasis on reviewing positions and people to assure optimum utilization in current jobs and to determine who has potential for advancement and how it can be accomplished within the personnel management framework.

CPO should:

- Put more emphasis on interrelationships of performance evaluation on current job, evaluation for promotion purposes, use of informal and formal recognition, and determination of training needs during Management I training, personnel management assistance visits and other staff assistance contacts.

- Continue to expand direct involvement of managers and supervisors in working with recognized union representatives to solve any management-employee relations problems at the lowest operating level.

4. Generally the merit promotion system is providing highly qualified candidates for vacancies and is assuring employee equity through competition. However, position vacancy announcements do not contain statements on qualification requirements, and as a result, employees expressed confusion on whether or not they should apply.

Recommendation:

- CPO should include a brief statement on minimum qualification requirements in vacancy announcements or incorporate practical information guides on minimum qualifications and ranking procedures.

Required classification action:

Clinical Nurse, GS-610-07 to Clinical Nurse, GS-610-09

Will affect six positions

Nurses provide comprehensive nursing care consistent with the GS-09 level in the standards.

STUDENT WORKSHEET

CLOSING CONFERENCE OUTLINE

I. MAJOR ISSUE OR PROBLEM	RECOMMENDATION OR REQUIRED ACTION

II. METHOD OF PRESENTATION

III. PRESENTATION AIDS

STUDENT WORKSHEET

CLOSING CONFERENCE CRITIQUE

INSTRUCTION: Evaluate presentation on the items on the left. Place your comments in the appropriate columns. Be specific. Give completed form to team leader who makes presentation.

EVALUATION FACTORS	EFFECTIVE	NEEDS IMPROVEMENT
1. CLOSEOUT FORMAT a. Appropriateness to subject matter b. Sequencing c. Length		
2. MAJOR ISSUES a. Clearly defined b. Factual supporting data c. Fix area of responsibility d. Strong recommendations e. Justify recommendations or interpretive data which were questioned		
3. BRIEFING QUALITY a. Subject matter knowledge b. Relevant, concise message c. Effective briefing techniques which motivate positive response d. Quality of visual aids		

An Introductory Workshop in

THE ONSITE SURVEY METHOD OF PERSONNEL MANAGEMENT EVALUATION

WRITTEN REPORT

THE WRITTEN REPORT

(Personnel Management Evaluation)

Introduction -- The one feature that most complicates the production of an effective evaluation report is the number of different audiences both within and outside the Commission to which the report is directed. These audiences may include the establishment manager, establishment personnel staff, high echelon agency management, agency headquarters personnel staff officials, CSC regional office program, the Bureau of Personnel Management Evaluation, and CSC central office program managers.

Because of the many objectives of the evaluation program, the varied audiences which support these objectives, the different needs of each of these audiences and the different reporting approach necessary to satisfy each of the needs, it is very difficult to meet all objectives well with a one-part omnipurpose report.

There are three main objectives that our reports must meet: (1) to motivate improvement, (2) to inform about program status, and (3) to establish a basis for future agency/commission cooperative improvement efforts. The following reporting format is designed to meet each of these requirements by separate segments of an overall report that includes:

- An agency report in two parts -- one part directed to the installation top manager and his key staff, the second part directed to the technical personnel staff. Appendices may be added to transmit needed background information and case listings.

- A CSC internal report attachment that includes specially requested program information not pertinent to the evaluation or information that is for CSC use exclusively.

Agency Report -- The primary purpose of the agency report will be to motivate change. It should be problem oriented with the overriding focus on the local manager. Generally, it will consist of a letter of transmittal and a two-part report with Appendices if needed.

- Part I. Part I is a self-contained report to the establishment head discussing the basic problems in personnel management to which he should address his attention. It discusses the role of managers, supervisors, and the personnel staff and the action needed by each to improve personnel management in the organization.

The purpose of Part I is to motivate the manager to take action for solving the personnel management problems that the review has identified. The thrust and direction of the report will be on the local manager. It should tell him how effectively managers, supervisors, and personnel staff are carrying out their responsibility in managing people, what are the impediments to effective management and how they can be removed.

The character of the findings and recommendations; the local environment, including delegations of authority; type of personnel staff assistance; and the program emphasis of the evaluation will have some influence on how Part I is constructed. Flexibility will be required to structure this segment of the report in such a way to best achieve the primary objective. However, as a minimum, Part I of the agency report should:

- Include a brief statement that gives the evaluation team's concise overall summary of personnel management at the installation. The overall statement should not be a detailed statement of findings nor should it be an amalgam of findings pieced together from the remainder of the report. It should present a brief characterization of the most significant achievements and problems with personnel management at the installation, highlighting the team's assessment of the contribution of the personnel function to accomplishment of the manager's mission.

- Contain an evaluation of how the three levels of personnel management responsibility -- managers, supervisors and personnel staff -- are aware of and carrying out their personnel management responsibilities. The major problems that obstruct the accomplishment of the installation's mission should be related to the responsibility of these three personnel management "agents," and action to correct these problems should be clearly spelled out. Reference to Part II should be made where appropriate to tie-in personnel management agents' responsibility to deficiencies in personnel system operations rather than discussing such deficiencies in Part I.

- Clearly label each recommendation or required action. These items should specify not only what needs to be done, but also indicate who needs to take action and whether they are actually required or recommended. Recommendations provide assistance to the manager on how to solve problems that have been identified, while required actions specify actions needed for regulatory compliance. Broad, vague recommendations or required actions with little or no direction on the specific type of action to be taken are of little help to the manager and tend to confuse the solution of the problem.

- It is important to recognize the concept behind the reporting process in Part I: that the overall responsibility for personnel management within the organization rests with the top manager. To achieve his mission objectives he generally manages the workforce through three identifiable levels or centers of personnel management, each of which has a different, but complementary role. Problems in the management of human resources may stem from action or inaction at each of these levels. Analysis of the findings and reporting in Part I should tie deficiencies in personnel management to a failure of one or more of these personnel management centers to effectively carry out their assigned management role.

In summary, the conclusions and recommendations in Part I provide an overall picture of personnel management at the establishment and an evaluation of how each personnel management center is carrying out its assigned role; it identifies problems that are created by deficiencies in the way these responsibilities are being met; and it provides recommendations for action at the level where responsibility is not being met.

- Part II. Part II of the report is aimed at personnel and other staff offices concerning technical matters over which the personnel staff has program responsibility. The objective of this part of the agency report is to assist the personnel staff in correcting personnel system deficiencies that may detract from good management practices. Part II will be problem oriented; it is not intended to provide a comprehensive discussion of all personnel management programs. In fact, it will cover only those parts of the personnel management process where information and recommendation need to be communicated to the agency technical staff.

  Recommendations and required actions, as in Part I, should be clearly labeled and differentiated. They should provide the personnel staff with helpful and constructive direction on how to correct the program deficiencies described.

- Appendices:

  o Background information may be included in an appendix rather than in the report proper. The information included here would cover the nature and scope of the review, factfinding methods used, number of interviews, questionnaires, etc., and any special circumstances surrounding the review.

  o The regulatory and classification case listings should be attached as an appendix to the agency report.

CSC Internal Report Attachment -- This segment of the report is for CSC internal use exclusively and provides a vehicle for bringing significant personnel management program information to the attention of CSC staff. The information attachment should include major findings developed in the review that are not pertinent to the local evaluation, but which are needed by CSC program managers or which are specifically requested by the nationwide plan or other directives.

The information attachment should generally provide a discussion of each personnel management program reviewed in the evaluation. Significant information that is not discussed in other parts of the report should be included in this attachment. The information included in this attachment, together with the program information in Parts I and II of the agency report, should give a complete response to the program coverage for each area under review.

Using Different Formats.

The above reporting format is designed to achieve the objectives of a "problem-solution" approach to evaluation which fixes responsibility at the appropriate level and clearly outlines recommendations for improvement. There are times when situations warrant use of a different format, either due to the nature of the recommendations, unique local situations, etc. It is expected that the advisor will use mature judgment in deciding when a different format is necessary and the correct approach that should be taken. Regardless of reporting format taken, it is essential that our reporting objectives be met: motivating change through problem identification, fixing of responsibilities, and recommending courses of action.

Letter to Activity Head.

The report should be transmitted to the activity head by a letter signed by the Regional Director. The letter should be more than a mere transmittal, however. It should succinctly and accurately convey the tone of the narrative report, highlight major conclusions, and discuss the action expected of the local management, the assistance available from the region to help the establishment bring about desired changes, and the time frame in which such action should be accomplished.

Letter to Higher Headquarters.

A letter to the higher headquarters of the activity should also be prepared which transmits copies of the evaluation report, highlights the major conclusions, and discusses any action that should be taken by the higher headquarters. If there are areas that are beyond the control of local management or problems related to agency policies which the evaluation team wishes the Bureau of Personnel Management Evaluation to discuss with agency headquarters, some indication of the problem and the fact that BPME is being alerted should generally be indicated in the transmittal letter.

STUDENT WORKSHEET

REPORT OUTLINE

I. OBJECTIVES TO BE ACHIEVED THROUGH REPORT

II. FORMAT TO BE USED

III. REPORT OUTLINE

STUDENT WORKSHEET

WRITTEN REPORT CRITIQUE

INSTRUCTION: Evaluate presentation on the items on the left. Place your comments in the appropriate columns. Be specific. Give completed form to team leader who makes presentation.

EVALUATION FACTORS	EFFECTIVE	NEEDS IMPROVEMENT
1. Report outline Report objectives		
2. Format is appropriate for content and intended audience		
3. Provides for separate segments tailored to special audiences		
4. Anticipates format limitations and compensates for obvious format pitfalls		

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FOLLOWUP

STUDENT WORKSHEET

FOLLOWUP PLAN

1. METHOD OF FOLLOWUP

2. FOLLOWUP ITEM	FOLLOWUP RESPONSIBILITY	TIMETABLE

3. FORMAL FOLLOWUP SURVEY PLAN (OPTIONAL)

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COURSE EVALUATION

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Course Evaluation

INSTRUCTIONS. In our efforts to make this a more meaningful training experience, we would appreciate your opinion on the extent to which the training objectives were attained. Be completely frank in checking your responses and in making your comments. Use the space provided and/or the back of the sheet. Evaluate only in terms of the stated objectives.

OVERALL PROGRAM EVALUATION. As far as you are concerned, was this objective achieved: "Upon completion, the participant will be able to apply commonly used evaluation procedures, under the guidance of senior team leaders, in completing carefully selected evaluation assignments onsite."

( ) Definitely (Excellent)	( ) Mostly (Very Good)	( ) To Some Extent (Satisfactory)	( ) Not at All (Unsatisfactory)

TRAINEE OBJECTIVES. In your view, were your overall objectives reached? If not, please explain.

( ) Definitely (Excellent)	( ) Mostly (Very Good)	( ) To Some Extent (Satisfactory)	( ) Not at All (Unsatisfactory)

COMMENTS.

NAME (optional)______________________________________

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Course Evaluation

UNIT OBJECTIVES

Major Training Objectives (Refer to objectives statements.)	Were objectives achieved? CHECK				If objectives were not achieved, or only partially, what factors were responsible?									
	Definitely	Mostly	Some Extent	Not at All	Instructor(s)	Content	Training Method(s)	Time	Exercises	Workshops	Case Study	Training aids	Facilities	COMMENT (Use back of sheet if required.)
Governmentwide Personnel Management Evaluation Program														
Methods of Evaluation														
Evaluation Team Roles and Responsibilities														
Planning Onsite Survey														
Planning/Conducting the Opening Conference														
Onsite Factfinding: Evaluation Interview														
Onsite Factfinding: Program/Regulatory Review														
Problem Identification and Solution														
Prepare for/Conducting the Closing Conference														
Methods of Organizing & Presenting Written Repts.														
Followup/Impact Assessment Procedures														

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Self-Assessment Questionnaire II

This is a self-assessment questionnaire and we will ask you to complete this before and after the course. The elements listed will be covered in the course. We would like your reaction to the importance of each element for successful performance as an evaluation team member and what you feel to be your present level of understanding or skill on each element now and at the completion of the course.

Please indicate beside each element the importance of the element for successful performance as an evaluator by marking in the appropriate box:

- - if that element is of no importance or of only minor importance
- o if that element is of some importance but not essential
- + if that element is essential to effective performance

In addition, please circle a number value on the scale beside each element which best indicates the understanding or skill you feel you presently possess. You may circle any number on the scale. The scale is as follows:

No understanding or skill (0) — Moderate understanding or skill (5) — Completely adequate (10)

0 1 2 3 4 5 6 7 8 9 10

Understanding is evidenced by the ability to define, describe, or cite the major aspects of the element.

Skill is evidenced by the ability to apply the major aspect of the element.

NAME: ______________________________

Understanding or skill in the following fundamentals	Importance to job Mark one - o +	Number value which best indicates present understanding or skill. Circle number.
1. Define personnel management and identify the three major centers of personnel management responsibility.	☐	0 1 2 3 4 5 6 7 8 9 10
2. Describe the three elements of effective agency personnel management.	☐	0 1 2 3 4 5 6 7 8 9 10
3. Explain the overall purpose and expected results of personnel management evaluation.	☐	0 1 2 3 4 5 6 7 8 9 10
4. Explain the minimum requirements for agency evaluation systems.	☐	0 1 2 3 4 5 6 7 8 9 10
5. List and describe the uses and limitations of the five standard evaluation methods.	☐	0 1 2 3 4 5 6 7 8 9 10
6. Explain the five major roles of personnel management evaluation.	☐	0 1 2 3 4 5 6 7 8 9 10
7. Identify the core knowledges needed by evaluators for professional development.	☐	0 1 2 3 4 5 6 7 8 9 10
8. Describe the role of the team leader in managing and coordinating the survey.	☐	0 1 2 3 4 5 6 7 8 9 10
9. Give examples of appropriate professional conduct during the planning, onsite, and post-onsite phases.	☐	0 1 2 3 4 5 6 7 8 9 10

Understanding or skill in the following fundamentals	Importance to job Mark one - o +	Number value which best indicates present understanding or skill. Circle number.
10. Cite and explain four types of evaluator-client relationships, and possible difficulties in the use of each.	☐	0 1 2 3 4 5 6 7 8 9 10
11. Describe and explain the basic interrelationships among the major phases of the onsite survey process.	☐	0 1 2 3 4 5 6 7 8 9 10
12. Identify commonly used advanced information sources, and analyze information in presurvey problem identification.	☐	0 1 2 3 4 5 6 7 8 9 10
13. Assist senior evaluators in determining areas of coverage and evaluation procedures to be utilized onsite.	☐	0 1 2 3 4 5 6 7 8 9 10
14. Assist senior evaluators in planning and conducting the opening conference.	☐	0 1 2 3 4 5 6 7 8 9 10
15. Identify/describe the 4 basic onsite factfinding methods.	☐	0 1 2 3 4 5 6 7 8 9 10
16. Use the appropriate method to obtain clearly specified information to be used by the team in assessing personnel management effectiveness.	☐	0 1 2 3 4 5 6 7 8 9 10
17. Describe the process steps used in identifying and analyzing problems which adversely impact on personnel management effectiveness.	☐	0 1 2 3 4 5 6 7 8 9 10

Understanding or skill in the following fundamentals	Importance to job Mark one - o +	Number value which best indicates present understanding or skill. Circle number.
18. Define the process steps in decision analysis used in requiring and recommending actions to improve personnel management effectivess.	☐	0 1 2 3 4 5 6 7 8 9 10
19. Apply these processes with the aid of senior evaluators in the identification and solution of simple problems.	☐	0 1 2 3 4 5 6 7 8 9 10
20. Describe alternative approaches to organizing and presenting evaluation findings.	☐	0 1 2 3 4 5 6 7 8 9 10
21. Assist senior evaluators in planning and conducting a closing conference.	☐	0 1 2 3 4 5 6 7 8 9 10
22. Describe the uses and limitations of commonly used techniques for organizing and presenting written reports.	☐	0 1 2 3 4 5 6 7 8 9 10
23. Explain the purpose for followup and impact assessment.	☐	0 1 2 3 4 5 6 7 8 9 10
24. Describe the major uses and limitations of these followup and impact assessment procedures (action item reporting; personnel assistance visits; followup surveys) and perform typical followup assignments.	☐	0 1 2 3 4 5 6 7 8 9 10

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READINGS

GPO 877-083